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ABSTRACT

This report of a National Conference on Regionalism and Regionalization in American Postsecondary Education contains an overview and summary of the final project report, a keynote address, four papers on the implications of regionalism, some reactor comments, an essay on leadership, and four descriptive accounts of operational regionalization activities. The contents of the report are as follows: "Regionalism in American Postsecondary Education: Concepts and Practices (Overview, Summary and Conclusions from the National Study)," by S. V. Martorana and Lawrence A. Nespoli; "Coming Conditions in Academe: A Backdrop to Regionalism in American Postsecondary Education," by Fred M. Hechinger; "Implications of Regionalism for State-Level Governmental Policies and Possible Legislative Concerns and Actions," by Ronald B. Stafford; "Some Observations on the Budgetary Implication of Regional Actions in Maryland," by H. Louis Stettler, III; "Implications of Regionalism for State-Level Planning and Coordination Efforts for Postsecondary Education," by Richard C. Hawk; "Implications of Regionalism for Postsecondary Institutions and State-Governed Systems," by Robert L. Gale; "The Importance of Leadership for Regionalism: Some Suggestions for Action," by Louis Rabineau; "Current and Future Status of Consortia," by Lewis D. Patterson; "Regionalism and Educational Brokering Services for Adults," by Francis U. Macy; "Postsecondary Education Planning Commissions: A Federal Role," by James P. Rogers; and "Expanding Regional Cooperation in Graduate and Professional Education," by Richard W. Jonsen.

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STUDY, TALK, AND ACTION

A Report of a National Conference on Regionalism and Regionalization in American Postsecondary Education

S. V. Martorana
Lawrence A. Nespoli
Editors

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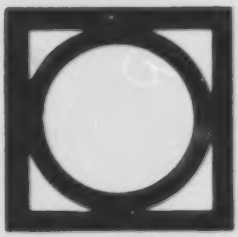

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Center for the Study of
Higher Education
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September 1978

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FOREWORD

The papers presented in this volume are the result of a national invitational conference planned in conjunction with a two-year study funded by the Ford Foundation. The purposes of the conference were primarily two: (1) to serve as an initial dissemination activity for the information, conclusions, and recommendations presented in the final report of the study; and (2) to provide a leadership forum for personnel of interested agencies at all levels and of institutions involved in regionalism. We at the Center for the Study of Higher Education want to express our appreciation to the Ford Foundation for making this project possible, and, in particular, want to commend the Foundation for making funds available specifically for the support of the conference. Because of this support, it was possible to bring together representatives from a wide range of interests in the public policy implications of the study—colleges, universities, state higher educational agencies, and various state and federal governmental offices.

The Center for the Study of Higher Education of the Pennsylvania State University takes special pride in the variety of sponsors of this conference: in addition to the Ford Foundation, the Education Commission of the States (In-Service Education Program), the State Higher Education Executive Officers' Association, and the Association of State Postsecondary Education Planning Commissions. Dr. S. V. Martorana and Mr. Lawrence A. Nespoli are to be congratulated for their efforts in providing the opportunity to develop some insight into a new American postsecondary educational planning and coordination concept.

We believe the papers generated for and by this conference and contained in this volume of the proceedings will be most useful to those who are concerned with fostering regional cooperation, intra- and interstate, among all postsecondary education institutions. A full report of the larger study of regionalism was published earlier by the Center. Comments or questions about the larger study, the follow-up conference, and these proceedings should be addressed to

S. V. Martorana, Center Research Associate, Project Director, or Lawrence A. Nespoli, Associate Project Director.

Kenneth P. Mortimer
Professor and Director, Center for
the Study of Higher Education
September 1978

PREFACE

The need to disseminate the results of the national study of regionalism was strong and clear from the earliest stage of planning and discussion with persons in the field and representatives of the Ford Foundation. Commitments were made early, therefore, to follow up the investigative and analytical work necessary to determine and describe the current status of regionalism and regionalization in several ways. Plans called not only for a general publication, but also for more direct forms of communication with postsecondary educational and other related interests in the field. The national conference whose proceedings are reported here was one. By design it concerned not only persons at local, state, and federal governmental levels with official responsibilities for postsecondary education of institutional, regional, or statewide scope, but also persons from similar levels with comparable duties in other aspects of government—planning, budgeting, and the like. It also brought to the gathering persons with perspectives built on legislative as well as executive experience in government. These approaches to the conference are reflected in its program (Appendix B) and in the make-up of the participants who were invited to take part (Appendix C).

In short, the conference was aimed at joining the issues raised by research activity with those concerned with policy action. Initial feedback on the National Invitational Conference on Regionalism in American Postsecondary Education indicates that, in this respect, the conference was a considerable success. We want to thank all of the conferees for their enthusiastic participation, and especially those whose papers are presented in this volume.

This report of the conference proceedings begins with an overview and summary of the final project report. This is followed by the conference keynote address. The major part of the volume consists of four papers on the implications of regionalism for various aspects of postsecondary education operations—(1) legislative concerns and actions; (2) resource allocation decisions and procedures; (3) statewide coordinating efforts for postsecondary education; and (4) governance of postsecondary institutions and state-governed systems. Each of these presentations was immediately followed by two reactions and then general conference discussion. Brief highlights

of the reactors' comments are provided here. These four papers plus reactions are followed by an essay on the importance of leadership for general postsecondary policy formulation and for regionalism efforts in particular. Finally, the volume concludes with four descriptive accounts of operational regionalization activities that are attracting considerable notice throughout the country—consortia, educational brokering, state postsecondary education planning activities, and the interstate compacts.

The editors would like to acknowledge Mrs. Beverly Kline, Writer, for her efforts in listening to tapes made at the conference and then drafting summaries of the reactor-statements. The editors would also like to thank Joanne Kollar for her editorial assistance in the preparation of the final manuscript, which was typed in first draft by Pat Duich and Betty Meek and then on the composer by Diane Hoover, Printing Services.

S. V. Martorana, Director
Lawrence A. Nespoli, Associate Director
September 1978

REGIONALISM IN AMERICAN POSTSECONDARY EDUCATION: CONCEPTS AND PRACTICES (OVERVIEW, SUMMARY, AND CONCLUSIONS FROM THE NATIONAL STUDY)

S. V. Martorana

Project Director

and

Lawrence A. Nespoli

Associate Project Director
Center for the Study of Higher Education
The Pennsylvania State University

We believe that the chief reason for the success of the June conference on regionalism and regionalization of postsecondary education in the United States was that all participants were given substantial opportunity beforehand to know about the national study which served as the main focus of the conference. Rarely are conferees in higher education brought together, as was done in this case, with all concerned—presenters, reactors, and participants at large—given a full chance to shape their individual parts in the conference to personal biases, experiences, and observations concerning the primary subject at hand. To afford readers this same opportunity and, hopefully, thereby also to recreate some of the dynamism of interested and animated discussion that took place at the conference, this first section provides an overview of the national study.

ANTECEDENTS TO REGIONALISM: COMPETING ORGANIZATIONAL TENDENCIES

The current literature in higher education abounds with news about the process of change in which the nation's postsecondary educational institutions are involved. The many changes reflect new conditions in the 1970s, both internal and external to these

institutions—conditions that are drastically different from those that prevailed during the previous three decades in American postsecondary education. These developments suggest strongly that new policy directions for the support and conduct of this level of education are in the making. In short, if colleges and related types of institutions are to respond effectively to the increasing pressures for new policy directions, new organizational approaches may be needed.

Until quite recently, two competing tendencies controlled organizational changes evidenced within postsecondary institutions. One is the classical claim for institutional and campus autonomy for collegiate operations; the other is the movement toward statewide systems and centralization of operating controls. There are at least two extreme positions existing between these competing tendencies. On the one hand, a heavy-handed officialism could take control of higher education and determine not only the resources it shall use, but also the broad policies it shall follow. On the other hand, a "market model" could be used to redistribute resources and to preserve the autonomy of institutions of higher learning. *Currently, neither position can present convincing evidence that it is the likely model for general adoption throughout the states!*

The concept of regionalism seems to offer some interesting positive possibilities for escaping both the extreme of monolithic, centralized, statewide control and that of a strict market model. There is some evidence to suggest that regionalism in higher education is emerging as a move toward a middle-ground position in coordinating and planning for this level of education. Furthermore, besides offsetting pressures for a polarization of the positions supporting extreme campus autonomy or complete centralization of postsecondary education within individual states, the regionalism approach, when applied across the boundaries of two or more states, recognizes the fact that those boundaries often need to be "leaped over" if postsecondary educational services are to be effectively provided for the area concerned.

In sum, the challenge of the next decade will be to find mechanisms for coordination that can achieve appropriate accountability of all postsecondary institutions while at the same time protecting the degree of independence that is essential for their continued vitality as academic organizations. This study examined the potential of regionalism for accomplishing that kind of balance.

REGIONALISM DEFINED: OFFICIAL STATE-LEVEL RECOGNITION

Regionalism is defined as that view of a geographic subsection of a state (or of several adjoining states) that considers all (or a number) of the postsecondary educational components within the region collectively and seeks to establish a coordinated relationship among their goals, programs, and/or resources. Regionalization, then, is the process by which the concept is put into practice—the implementation of regionalism is regionalization. Regionalism, however, is only one kind of inter-institutional activity. To isolate practices of regionalization from the many other sorts of interinstitutional cooperative activity, another criterion was established to define regionalism for this study. To be included, regional arrangements had to show in some way an *official recognition* by one or more state agencies with official authority to act on such recognition. This official recognition can be by the governor or the legislature through executive action or statute, for example, or by a state-level coordinating or governing board responsible for all (or a segment) of postsecondary education exerting similar official action.

Regionalism, thus defined, should not be equated with consortia or interinstitutional cooperation in general. Such cooperation between and among postsecondary institutions is certainly not new in this country; it has been manifested in at least two separate but parallel trends in the coordination of postsecondary education. One of these is the shift of attention from individual institutions to a statewide perspective and a related systemwide concept of postsecondary education. The other is an increased interest by institutions themselves in voluntary inter-institutional cooperative and collective activities. Until very recently, these two movements had proceeded separately and distinctly although occurring within the same developmental time frame. It is suggested in the current study that, in a real sense, the two movements are beginning to merge into the new notion of regionalism and regionalization and show promise of generating a new approach and structure for providing educational services.

PURPOSE: QUESTIONS FOR INQUIRY

Essentially two separate major lines of inquiry were pursued in the study. First, it sought to establish for each state an accurate picture of the extent, if any, to which the concept of regionalism is being used in making current policy decisions about such aspects of postsecondary operations as program coordination and resource allocation. Second, the study moved to establish a detailed description of key facets of each regionalization action identified; these included their goals and purposes, scope of responsibility, geographical configurations, institutional coverages, programs, outcomes (both expected and achieved), staffs, fiscal support patterns, and operational practices. Within this general framework, the following broadly phrased questions provided the framework for organizing both the inquiries made and the analytical work conducted throughout the course of this project:

1. What level of attention is being given to the concept of regionalism and the implementation of regionalization of postsecondary educational resources by agencies with official responsibility for this level of education in the several states?
2. Are there different approaches to regionalism (patterns of regionalization) in the several states?
3. How are the planning and implementing phases of regionalization promoted?
4. Is there a relationship between regionalization patterns and the manner in which regionalization is implemented?
5. What are the goals and expectations of regionalism and regionalization?
6. Are there forces which effectively influence regionalism developments in the several states?
7. Are there discernible outcomes achieved through regionalization actions?
8. What is the projection for future regionalism developments in the states?
9. Are regionalism developments on the elementary and secondary educational levels having an impact on postsecondary education regionalism developments or vice versa?

10. Is regional planning for other major concerns of state governments—health care, economic development, library services, and so on—having an impact on regionalism developments within postsecondary education?
11. Is the movement toward regional planning by federal agencies having an impact on postsecondary education regionalism developments?
12. Are regionalism developments within postsecondary education having an impact on state-level policy formulation either intrastate or interstate?

PROCEDURES

With Ford Foundation financial support, this study was done as a cooperative effort involving, besides the staff members in the Center for the Study of Higher Education at The Pennsylvania State University who were responsible for its direction and management, members of the State Higher Education Executive Officers' Association (SHEEO) and the chief executive officers of the State Postsecondary Education Planning Commissions (the "1202 Commissions"). These officials served as a primary source of data for the project and also provided major assistance in securing the full cooperation and participation of a variety of interests in postsecondary education at the state, regional, and institutional levels.

From the start, this study aimed at establishing a comprehensive *description* of postsecondary regionalism developments nationwide. The procedures and methodologies utilized throughout the study were consistent with that goal. The authors deliberately refrained from using more refined analytical procedures, believing that such analyses will be more appropriate for subsequent studies—those that will build upon the first-order descriptive research reported here.

To gather information about regionalism in the United States, emphasis was put on three research actions: (1) a survey of all fifty states and United States territories; (2) more penetrating case studies in eight selected states; and (3) an analysis of documents gathered from all states and jurisdictions cooperating in the project. Beyond these three primary investigative thrusts, heavy reliance

was put on telephone follow-up interviews and, to some extent, on other data-gathering techniques to accomplish the various sub-elements of the project design as needed.

CONCLUSIONS*

From its genesis to the publication of the final report, this study of regionalism and regionalization in postsecondary education in the United States was an effort to understand the nature of a larger quest; it is the search that is now patently pursued throughout the land for better organizational structures and procedures whereby the broad needs of the society, and economy for postsecondary educational programs and services in particular, can be met. That such a quest is underway would be hard to deny. Evidence of its presence is seen in positive actions by educators and public policy-makers, alike, to reassess the validity and continuing effectiveness of older, more established forms and practices as a step toward formulating new and better ones. It is also evident in the negative, potentially destructive actions by some who are so displeased with the present operations of postsecondary education institutions as to suggest that revolutionary changes, not evolutionary ones, are essential. So postsecondary education is in a welter of change: accreditation structures and procedures are revamped; state boards constitutionally authorized to set policy for education and which historically adopted a coordinating role over colleges and universities take on degree-granting authority in their own right; components of the Armed Forces do the same; some institutions move more intensely to acquire a special identity while others join in the "open university" movement; and so on.

The purpose here is not to catalog all of the forces and directions of change in postsecondary education; it is simply to make clear that change is the pattern of the day. Within that pattern, then, the questions that must be asked are those which, when answered, will cast light on the nature and direction of new developments and, furthermore, will have some promise of helping to guide policy in postsecondary education as it evolves.

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*This section reproduces almost exactly the final chapter (XV) of the full report.

Regionalism, as defined here, is only one of many manifestations of change in postsecondary education. The key element in its definition—the presence of some "recognition" at the state level—permits separation of the concept from formal restructuring of institutions or systems of colleges and universities into single organizations, on the one hand, and strictly voluntary interinstitutional arrangements by postsecondary institutions, on the other. The criterion of an official state-level sanction or recognition is believed to be of essential significance because its presence places actions stemming from regionalism within the purview of state-level planning and coordination of postsecondary education. In this sense and focus, the concept of regionalism becomes one which merits closer examination because it relates to one of the major critical issues of the day—namely, how best to reconcile the individual identities of postsecondary educational institutions (colleges, universities, institutes of various kinds, and—in today's world—libraries, museums, business and industry training centers, the military and government, and so on) with the legitimate interests and concerns of a state and regions within or beyond the state.

It was to illuminate the place and potential of regionalism within this latter context that this study was directed. A volume of detailed findings and discussion resulted. It is in the broad answers to the twelve basic questions asked at the start, however, that the authors see the major significance that the study carries for postsecondary education. These answers to questions about regionalism summarized below, plus a comment on which approach should be advocated, if any, pose a much larger general issue to makers of policy for both postsecondary education and the general public. That issue is made specific at the close of this section of the conference report.

Level of Attention and Extent of Development

Regionalism is operative in most of the United States, with over two-thirds of the states reporting activity related to the concept. Regionalization is most evident in the midwestern section of the nation and least so in the northeastern states. Implementing actions involve many more intrastate than interstate regionalization actions,

although nearly 30 percent of all regionalization actions involve two or more states. Regionalization that undertakes coverage of post-secondary education comprehensively, that is, encompasses all types of institutions and all program levels from the associate to doctorate degree, is observed more commonly than that which encompasses only some types of institutions or some program levels. Two major classifications of regionalization actions, therefore, are possible—those that relate geographic coverage with types of institutions included, and those that relate geographic coverage with program levels of postsecondary education. Within the first major classification, seven sub-types appear; within the second, six sub-types. Beyond the ninety-four regionalization actions operating in thirty-six states (catalogued in Appendix B of the full report) and the four interstate compacts (discussed in Chapter XIII), a number of incipient developments are occurring which are believed to indicate likely future growth of both the concept and its use.

Different Approaches in Different States

Not all states that use regionalism as an organizational concept approach either the concept or its implementation in a standard form. Rather, the opposite is true: regionalism seems to mean different things in different states and, as a consequence, takes on varying forms from state to state. The different regionalization patterns in this study, developed from normative information gathered through surveys, tell only part of the story of the various approaches to regionalism. Another, and equally illuminating part of the story, came from the on-site interviews with government and education leaders in the eight case states (Chapter XIV provides a close-up look at regionalism developments in California, Illinois, Louisiana, Minnesota, New York, Ohio, Pennsylvania, and Utah). Beyond a taxonomy of regionalism and regionalization actions, some insight was provided into the various strategies for implementing regionalism. The two principal ones are a "deductive regionalization" which assumes that action is most productive when initiative for it comes predominantly from agencies at the state level and sub-state implementing efforts follow, and an "inductive regionalization" which assumes the opposite, that action is best when initiated at sub-state levels and encouraged at the state level. Finally,

a "global view" of regionalism and its implementation is now possible. The several states studied can be placed on a continuum which orders then by indices of regionalism and regionalization, thus separating those most receptive to the concept and active in its implementation from those least so (see Table 3.11 of the report).

Modes of Planning and Implementation and Their Relationships

Clearly, the planning phase of regionalism in the states is still essentially a political process. It is during the period when decisions are still open, fluid, and under discussion that the forces positively oriented to regionalism and those opposed come into strongest interplay. During the planning phase, differences in leadership style in both general government and educational policy formulation generate different strategies and techniques for assuring a workable commitment to regionalism as a planning and coordinating concept for state interests and individual institutions or systems of institutions. Also during this phase, differences in the legal basis of postsecondary education and in the historical relationships between state interests and individual institutions generate differences in the approaches used. It is unlikely, therefore, that regionalization will display strong similarities in actual, practical use in the several states, despite the certain general observations and principles in its use that can be set forth as a result of this study.

One such general observation, for example, is in relation to how regionalization actions are funded. Most rely heavily on state-appropriated monies for support of their operations. But regardless of the funding source, when regionalization actions secure funding, it is likely to be applied at the operational level and not for state-level supervision of regionalism. Also, roughly one-half of the regionalization actions identified in the study report that professional staff are utilized to administer the actions at the state level; similarly, about one-half of the actions employ staff at the regional level. A general tendency to employ full-time staff is noted. Leadership of regionalization actions at the state level, however, is more frequently on a part-time basis. Another pattern is in relation to the administrative structures attached to the regionalization actions. The "regional guiding mechanisms" used to implement regionalism are most frequently advisory in nature; the more comprehensive the

regionalization actions, the more pronounced is this trend. Beyond these kinds of general observations, however, it seems clear that the modes of implementation for regionalism are still evolving. Organizational structures for action are in a developmental stage; the duties and functions these structures are performing are likewise not yet consistently defined.

In sum, implementation techniques build upon the groundwork laid during the planning phases and, therefore, differences between and among different states again become evident. Since implementation presumes a prior decision in favor of action toward regionalism, the essential differences in implementation relate to two basic issues: first is how to keep the momentum going forward with as little exercise as possible of outright power; the second is how to acquire and deploy resources, chiefly money and personnel, to sustain decisions to act. Repeatedly, this study found that "carrot" and "stick" strategies prevail in regionalization implementation, as in most governmental initiatives inside and outside the realm of education. These generalizations appear true for all types of regionalization efforts identified in this study, be they interstate actions involving a wide complex of postsecondary educational programs or only a few, or intrastate actions using either an "inductive" or "deductive" approach to regionalization.

Goals and Expectations

Pressures for regionalization of postsecondary education come chiefly from demands for greater effectiveness and efficiency in the enterprise. Both institutional and state-level interests recognize the need for serious attention to these economic concerns. Nevertheless, the experience of the case states suggests that institutions are most likely to resist regionalism efforts as a threat to their own autonomy and control when the concept is promoted by state-level interests primarily on the basis of economic and fiscal considerations. In these instances, leadership of individual colleges and universities tend to perceive a difference between the officially stated goals of regionalism and what they believe are its operative goals or "hidden agendas."

Economy of operations is not the only strongly identifiable impetus to the concept of regionalism and its use. Increasing access

to postsecondary education is also getting substantial attention in regionalism developments throughout the several states. Improving communication among all types of postsecondary educational institutions and improving long-range planning are two other goals that get consistent but less strong notice.

In addition to these generalized conclusions about goals, some specific ones related to different regions of the country and the different types of regionalization actions are possible. For example, the goal of improving long-range planning has a particularly strong rating in the Midwest, whereas the goals of improving access and promoting diversity in postsecondary educational programs appear stronger in the South. Interstate regionalization actions emphasize access as the primary concern, while intrastate actions are more interested in coordination of academic program development. Regionalization actions developed for the public sector emphasize cost-effectiveness more strongly than actions involving all institutions, which give more attention to improvement of interinstitutional communications. Regionalization actions with legislative authorization and those with authority from state administrative bodies both rate access as the highest goal.

Although some differences can be noted, the goals for regionalism and regionalization are generally consistent across different parts of the nation and also for different types of regionalization actions. An interesting bit of evidence for this general observation is that, as this report went to press, word came from Florida that the acronym "CAMEO" is appearing there to communicate five major goals for regionalism in that state: Cooperation, Avoidance of duplication, Meeting unmet needs, Economy, and Outreach.

Authority and Legitimacy

Nearly one-half of the regionalization actions identified are officially recognized by action taken at the state legislative level, and 40 percent report action constituting official recognition from offices of the executive branch of state government; in short, support of the regionalism concept and its extended manifestations is broadly based. No one model or design of regionalism, however, has captured the support of either executive or legislative branches of state government to the exclusion of all others. While state governmental

interests (executive and legislative) are highly active in recognizing and thereby legitimizing regionalization, more actions consistently cite administrative action by responsible state agencies as the operating locus of authority.

Interstate regionalization actions are more often the results of actions of the governor and state legislatures than are intrastate actions; regionalization actions that are more encompassing in the types of institutions and levels of postsecondary education programs involved are recognized at higher levels of authority than those of lesser institutional and programmatic scope. In general, however, it can be said at this time that no one source of authority in the states, either within or outside of the educational realm, is the sole or even the predominant one legitimizing regionalization actions. This reflects the exploratory and developmental nature of regionalism. It is clear, however, that recognition from the highest levels of state government is viewed as the strongest support for implementing action.

Influencing Forces

Forces involved in the advancement of regionalism as a concept differ somewhat from those involved in the implementation of the concept. Personal forces, such as action by the governor as an individual, are more involved and influential in promoting the concept while extrapersonal forces, such as availability of funding, are identified and considered to be influential in implementation. Different parts of the country exhibit different types of interplay among the forces involved. The Midwest, for example, shows a pattern of many diversified strong forces, educational and noneducational, operating in support of regionalism. In the West, legislative attention to regionalism is reported as the most prevalent force.

Regionalization actions that include both public and private institutions have much more lay citizen involvement than do those which encompass only the public institutions. A commitment to and positive action in support of regionalism on the part of state agencies responsible for planning and coordinating postsecondary education is critically important to the success of all types of regionalization actions. Actions affecting two-year colleges and the associate degree level of postsecondary education show more likelihood of

involvement of state legislatures than other types of regionalization actions. Few negative forces were reported. The most consistently identified were the concerns of the leadership of individual institutions with preserving autonomy and the increasing competition for fiscal support between and among the various postsecondary educational interests in the states.

The experience of the case states with regionalism suggests that the interplay of forces within a given state is more critical to its success or failure than the presence or absence of one particular force, which data drawn on a nationwide basis may identify as generally present and either positive or negative. It is the patterns of political coalitions that emerge from the interaction of all the forces present that ultimately determine the success or failure of regionalism in postsecondary education.

Outcomes

The use of regionalism as an organizational principle in postsecondary education is producing positive effects at both the policymaking and the operational levels. The strongest outcomes are evident in the different approaches to long-range planning of postsecondary education produced and in the impacts on policies and practices followed in developing postsecondary educational programs and services. Thirty-one states provide evidence that regional needs and resources are considered in decisions to approve new programs. As yet, however, states are less likely to consider regionalism when decisions are made for allocation of resources for postsecondary education. Still, seventeen states (about one-third of all states) report that regionalism is having an impact in various resource allocation processes, a not insignificant finding in light of the relative newness of the regionalism concept.

At the operational level, regionalization in postsecondary education can also claim a number of positive outcomes. The major areas of reported success are improvements in interinstitutional communication and increased access to postsecondary educational opportunities. At this level, cost-effectiveness is relatively low in reported achievement, ranking seventh among the ten outcome areas examined. In this connection, however, claims that regionalization often results in "cost avoidance" are notable. What the nature of

such "cost avoidance" is and how it could be measured and evaluated are questions meriting more penetrating investigation.

With respect to variations of outcomes resulting from the different types of regionalization actions identified in this study, several conclusions demand notice. For example, interstate actions show positive outcomes in economical use of resources for post-secondary education whereas intrastate actions report notable successes in improving interinstitutional communication. Actions involving both public and private institutions generally report more positive outcomes than do those involving only public institutions, but those which attempt to bridge the gap between the four-year and two-year segments report a relatively low level of positive outcomes. A relationship is apparent between the scope of program coverage in a regionalization action and the extent of outcomes observed, with those actions encompassing levels comprehensively being less productive than those covering only certain academic levels. Actions encompassing graduate programs report high levels of economic outcomes.

The type of authority on which regionalization rests is not a critical factor in successful regionalization actions, but the level of commitment of the authorizing agency seems to be. A clear relationship exists between the availability of funds and the presence of positive outcomes for all outcome areas. When stated goals are related to observed outcomes, regionalization actions show greatest effectiveness in increasing interinstitutional communication and much less success in cost-effectiveness. Effectiveness increases with the age of the regionalization action for all categories of outcomes examined, including that of cost-effectiveness.

Relationships to Regionalism in Other Contexts

Regionalism is emerging on a number of different fronts: in elementary and secondary education, in several noneducation state government operations, and in numerous federal actions that either implicitly or explicitly encourage regional governmental planning in the states. Nevertheless, the impact of this varied activity on post-secondary regionalism developments has been minimal.

This general conclusion is evident in that while twenty-four states report an active attention to regionalism at the elementary and secondary level, only eight states report that basic education

regionalism developments are having an impact on regionalism efforts at the postsecondary level. Where such impacts are occurring, however, they are described as significant. Similarly, considerable regional planning activity is occurring in the various areas of state government operations in each region of the country yet the impact nationwide of this activity on postsecondary education is small. The area of greatest influence is regional health care planning. But even there only eleven states report any impact on postsecondary regionalism developments. The federal influence on postsecondary regionalism, while certainly more significant in recent years, is not yet widespread.

Regional planning for vocational education programs seems to be one area in which there is considerable interaction among various state-level interests—elementary and secondary education interests, postsecondary education interests, and noneducation state government forces. The federal influence is also significant here.

Special attention is called to Section 1203(c) of the 1976 Higher Education Amendments. If funded, this new federal initiative will make grants available for the support of interstate cooperative postsecondary education projects. Two or more 1202 State Postsecondary Education Planning Commissions must be the joint applicants for these grant funds; interstate compacts can also apply jointly with the 1202 Commissions.

In sum, the data show many state agencies, educational and noneducational, giving active attention to regionalism—*but each on its own terms.* So although various governmental bodies at the local, state, and federal levels have functioned as influencing forces and oftentimes as authorizing agents for postsecondary regionalism developments, the direct interaction and exchange of ideas between those noneducational governmental authorities and the postsecondary education community on approaches to regional planning *per se* has been minimal. It seems unlikely that growing public pressures will allow such marked degrees of "separateness" to continue.

WHICH APPROACH TO CHOOSE?

Several regionalization patterns and leadership strategies for implementing regionalism exist. The evidence now available, however,

does not support a recommendation as to which of these several approaches hold the most potential for American postsecondary education. More experience with and understanding of them is clearly needed before conclusions can be made concerning which approaches would be most successful in specific states. Nevertheless, some general observations can be offered as a result of this study which should provide policymakers a broader base of understanding as they develop and refine regional approaches to planning and coordinating postsecondary education.

The data show that regionalization involving postsecondary education comprehensively is most prevalent in the states. These comprehensive actions have recorded some significant accomplishments throughout the country. However, leadership of postsecondary education at all levels should be advised that these actions require a strong statewide commitment from the start if they are to be successful. For example, high-level noneducational forces are often required to bring all sectors of postsecondary education together within the same regionalization action. As an illustration, governors are frequently involved as personal forces in actions including both public and private institutions. Regionalization actions that attempt to be more comprehensive in their approach also have greater staff requirements than those that include only like institutions or similar program levels in more narrowly defined geographic areas.

Less comprehensive regionalization actions, while not sharing the advantages normally associated with statewide approaches, nevertheless do have several proven strengths. For example, regionalization actions for specific programs of a group of institutions within a limited geographic area are the most successful in attracting the active participation of business and industry as well as other lay interests. Also, regionalization actions that are less comprehensive in their approach are more successful in attracting funding support from a wide range of sources.

The different strategies for implementing regionalism identified in the case states likewise have both strengths and weaknesses. Deductive regionalization has the advantage of establishing regionalism on a statewide basis, but at the same time, it is more likely to be resisted by institutional interests as a threat to campus autonomy and control. Inductive regionalization has not encountered such opposition and has been proven as a viable approach in several

states. Critics, however, maintain that the outcomes achieved by this approach are minor; the impacts on the core functions and major policy issues of postsecondary education, minimal.

In sum, regionalism is still evolving as an organizational principle in postsecondary education, and thus specific recommendations about different approaches to its use are not yet possible. Propositions about which approaches are best suited for particular conditions in a given state or states are matters yet to be fully tested. Postsecondary educational interests are advised to assess the conditions and needs evident in their own states against the growing awareness and attention that regionalism is attracting throughout the nation and, with this background, attempt to develop policy for their own situations.

One broad generalization is possible, however. The potential for regionalism in postsecondary education seems greatest when pursued as a vehicle for coordination, not as a governance mechanism. Postsecondary educational political realities in most states are such as to make the development of formal regional governance structures highly unlikely. Further, there is not yet any justification for such a fundamental restructuring of existing postsecondary systems. Thus, at least for the immediate future, a coordinating perspective should be emphasized and maintained in postsecondary regionalism efforts. This approach seems particularly useful for continuing education programs, especially where off-campus instruction is involved.

IMPLICATIONS FOR POSTSECONDARY EDUCATION

The future of postsecondary education in this country will involve the planning and coordination of programs and services from a perspective considerably larger than that of a single institution. Agencies responsible for policies at the state level will carry increasing responsibilities for reconciling the *modus operandi* of postsecondary educational institutions, including newer ones operating in nontraditional modes along with older established colleges, with the needs of society and the economy at local, regional within state, regional interstate, and national levels. Recognition of this role and the actions *officially* taken to carry it out will represent further acceptance and adoption of regionalism as an organizational

principle. The major conclusion from the present study is that the concept is already well accepted and is being implemented widely.

A Final Policy Issue

This is the setting, then, for the large policy question to which the decisionmakers at both institutional and broader levels of postsecondary education need now to give serious consideration: How can the understanding of regionalism be improved and its use as an organizational principle be maximized to the best interests of all levels of concern—institutional, regional, state, and national? The authors submit that there are several ways that this can be done. Listed topically and addressed broadly to all postsecondary educational interests, they are:

1. Act cooperatively to establish new data bases that better serve policy and operating decisions involving regional configurations of postsecondary education as well as individual colleges and statewide systems.
2. Develop programs cooperatively to enhance understanding of regionalism by postsecondary education personnel at all levels and their use of regionalism as an organizational principle; both in-service training of persons already engaged in the field and pre-service preparation of new professionals seeking to enter it are indicated.
3. Act cooperatively to improve the "policy framework" within which regionalism can be exercised; state laws relating to postsecondary education as well as state-level policies and practices related to economic development, health planning, etc. need revision to facilitate action.
4. Stabilize procedures to provide funding for regionalization actions; current practice in many instances requires excessive reliance on sources of support that jeopardize long-range planning and confidence of expectations for continued operations.

These and other related suggestions emanating from this study were the subject of a national invitational conference on regionalism and regionalization in postsecondary education held in

June 1978. The conference was co-sponsored by The Pennsylvania State University, Center for the Study of Higher Education; the State Higher Education Executive Officer's Association; the Association of State Postsecondary Education Planning Commissions; and the Education Commission of the States, In-Service Education Program. Papers presented at the conference follow in the remainder of this volume.

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COMING CONDITIONS IN ACADEME: A BACKDROP TO REGIONALISM IN AMERICAN POSTSECONARY EDUCATION

Fred M. Hechinger

President
New York Times Company Foundation

American higher education is in the midst of a serious identity crisis. Like the student caught in the perennial sophomore slump, the colleges and universities are confused about their goals and purposes, forgetful about their past, and convinced that nobody loves them or even wants them. The government no longer enlists them in high-priority missions, as it did in the days of the race toward the atom bomb, and again in the later race toward the moon. There are increasing doubts among the general population about the value of a college education. Since the colleges—in a mistaken strategy, I believe—used to make so much of the superior earnings of their graduates when jobs were plentiful, they find themselves in something of a trap now that the degree may not be worth as much in absolute money terms. You have all heard the question raised, more and more insistently in recent years, "Why go to college?" Well, I think it is the wrong question now, just as I believed that the colleges' earlier emphasis on the material value of the degree was wrong then. Nevertheless, the reality must be faced: the almost blind faith in the college degree as the infallible provider has been shaken.

The colleges and universities themselves see some of their students leave the campuses complete with prestigious Ph.D.s—only to find the job market glutted. For the first time in recent memory, the academic world seems confronted with an apparent end of growth. It sees the dread prospect of retrenchment and retreat. Those who only a few years ago were concerned over the dangers of overpopulation are now terrified by the probability of underenrollment.

The statistics are beyond question. After three decades of annual records, a historic change took place four years ago: the class entering the first grade of the nation's elementary schools was

smaller than that of the year before—by 600,000. And every September since then, the decline has been around that figure. For the colleges, this means that they can figure out just exactly when those missing first-graders also will be missing in the high school graduating classes, and hence among the college freshmen. According to my figures, it will happen by the middle eighties, and that is not long off.

In actual fact, the effects of no-growth are already upon us. There remains much dispute about the causes of the marked slow down in growth, but economics undoubtedly are a factor. And unless inflation can be contained quickly, the pressure on higher education will increase, because of both rising costs and declining enrollments. This is not to say that there are not going to be compensating counter-currents. The Carter Administration is trying hard to shore up the sagging middle-income clientele by making the entitlement grant formula more liberal so that more middle-income families can benefit from it. (I wish the Administration had been more effective in blocking the tuition tax credit tide which seems intent on saddling the nation with a serious tax loss, without holding out much hope of containing the inflation of tuition; in fact, I am afraid the effect will be to escalate that inflation.) But on the optimistic side, an important compensating counter-current to the low tide of students may well be the increasing influx of older students, provided the colleges will be able to adjust to the demands of a different clientele. That, too, will not be an easy task.

I have merely skimmed the surface of the problems that confront the academic community. I have not even mentioned the problems of intellectual and pedagogical substance—the search for purpose and cohesion in the curriculum that has barely begun, after those years when absence of purpose and lack of cohesion were turned into the supreme virtues—the badge of freedom. This meeting is not the time nor the place to deal with that issue, except to include it among the many reasons for academia's identity crisis. For it is that crisis which has sparked the kind of re-examination that has brought us together.

Let me say, at this point, that I benefited greatly from the privilege of having access to the draft of the report on Regionalism in American Postsecondary Education—the thorough and detailed study which provides invaluable background information for this national invitational conference. Since you will be working with

that report yourselves, I shall deliberately avoid specific references to its findings in this introductory address. I want to assure you, however, that its content has helped to shape my presentation and has sharpened my own views on the issues. If I cannot say that the report actually has converted me, it is only because my basic outlook on the future of higher education already coincides with many of the key conclusions of the study.

And so, let me return to the general condition of postsecondary education in America—the identity crisis I attempted briefly to sketch—and suggest some possible, constructive responses. Since we are dealing essentially with a condition of severely slowed growth now, to be followed almost inescapably by an extended period of no-growth, and even decline, in the not very distant future, it seems to me that the challenge is as certain as it is simple: Less must be made to the better.

This is not an easy task. It is not an easy reality to accept and to adjust to. The American psyche, in academia as much as in business and industry, is atuned to the concept of "more"—of expansion—of new records. And it is, of course, true that everything is easier under conditions of growth. New ideas can be tested, new programs added, new staff members engaged, without cutting out anything that is already going on, without dismissing faculty members to make room for newcomers, without eliminating courses to allow the introduction of others. When things go wrong during a period of growth, the tendency is to spend more money on correctives that are, in effect, additives, in the hope that this will at least overshadow what is inferior.

In a period of retrenchment, those remedies are no longer available. For everything that is added, something else must be cut out. When things go wrong, when programs are found ineffective, when staff members prove inadequate, the answer is no longer simply to spend a little more money to paper over the deficiencies; the only answer now is surgery. And, as you know, that means pain.

Our task at these meetings, then, is to identify some practical ways in which less *can* be made to be better. We know that certain strategies, attractive as they may be in principle, will not work. For example, Americans have studied with fascination and envy the progress of the Open University (OU) in Britain. I am among those who have marveled at the organization, the dedication, and the sheer

genius of OU's headquarters, at the design center for study materials, at the futuristic way of reaching students. And I have visited the students—the suburban housewives, the teachers in need of upgrading, and, most of all, the almost culturally illiterate clerks and workers, the members of the previously educationally disenfranchised lower classes—for whom the OU opened up new worlds. And all of it at a fraction of the cost of traditional higher education!

The only problem with that model of making less—in that case, less money, less campus—become better in America is that none of the conditions that made the OU a success in England are duplicated here. On the contrary—instead of suffering from a lack of postsecondary education facilities, as Britain did when it decided to make access to higher education easier, we have a substantial surplus of those facilities. We are overbuilt. In the optimistic era of the 1950s, when this country engaged in the most far-reaching expansion of higher education the world has ever seen in such a short space of time, we built enough campuses, hired and tenured enough teachers to take care of America's postsecondary education needs *even if the student pool had continued to grow* at the then prevailing rate. Now, with that rate of growth drastically reduced and no-growth and even decline just around the corner, we have a larger system of higher education than we will be able to support. Clearly, then, there is no virtue in a second, substitute system, on the OU's model, whose main rationale is that it can offer more postsecondary education without campuses and with less teaching staff. The American dilemma, quite on the contrary, calls for solutions that rely on a more economical and more productive way of using the existing postsecondary education apparatus.

The only relevant answer to a drastically changed situation, therefore, seems to me to be in ways of setting limits on the things each individual institution must do to function with maximum effectiveness—limits on staffing, limits on the number of offerings, limits on the size and even the number of departments, limits on the specific area of intellectual support that students legitimately will be promised on any one campus.

I want to stress that I do not see this as a retreat from responsibility, but a refinement of that responsibility; not as a retreat from the pursuit of excellence, but a deliberate effort aimed for true excellence within the framework of what is practically possible. It

is a declaration of specific purpose. It is an end to the theory that every campus, in order to gain status and prestige, must do everything, in the hope that excellence, or at least recognition, will somehow emerge from the amorphous mass.

For the moment, in reaction to something approaching panic at the prospect of unfilled classrooms and dormitories, the colleges have turned to stepped-up competition as the remedy. The recruiting of students has reached a new level of intensity. College admissions directors now are acting more like automobile sales people than like representatives of academic institutions.

In the long run, such competition for a shrinking applicant pool is sure to be useless. The sensible course is clearly the one your meeting and your research focuses on—cooperation. It becomes increasingly evident that what has always been undesirable—namely the attempt by all colleges to be all things to all students—also is becoming impossible. Not to admit this is institutional suicide.

But as cooperation becomes the sensible way out of the dilemma, the key will have to be found in some forward looking agreements on an effective division of labor. It is in this effort that regionalism becomes a logical part of the solution.

There are, of course, many examples of existing noneducational regionalism. My own city—New York—is part of a tri-state regional approach to an increasing array of problems and services. The tri-state region—New York, New Jersey, and Connecticut—jointly operates a huge commuter transportation system.

It would be misleading to suggest that there are no obstacles to such regional arrangements. The components of a regional complex tend to try to ignore the larger community whenever their more limited, parochial interests seem to them at a disadvantage. "Going one's own way" is a powerful human and institutional drive, and it is a drive that is not fundamentally bad. Individualism surely remains a desirable trait, in institutions as much as in people.

And yet, the resistance to operate within a regional compact can be troublesome, and occasionally rather ridiculous. A good example was New York State's recent decision to secede from the federal Memorial Day calendar and to adhere to the traditional date of May 30th with the result that neither Monday nor Tuesday was a full holiday. Chaos reigned. Motorists who thought holiday parking

rules were in effect on Monday had their cars towed away. On Tuesday, when most people went to work as usual (even though banks and public schools, but not private and parochial schools, were closed), the city ran its subways on holiday schedule, but with weekday fares. The result was incredible crowding—unmanageable numbers of passengers intent on getting on an insufficient number of trains. Delays. Breakdowns. Frayed tempers.

You get the point. But speaking for academia, we can hardly afford a holier-than-thou response to the nonacademic comedy of errors. How many consortiums involving schools and colleges have had serious trouble coordinating their activities, for no other reason than that they found it impossible to agree on a common academic calendar?

Yes, the obstacles to regionalism are substantial. Those of us who covered the news in education remember the often acrimonious battles over school consolidation—the creation of regional high schools large enough to offer a full complement of academic subjects. At the moment, moreover, there is a powerful clash of ideologies between the advocates of greater "community control" and the proponents of greater cooperation and coordination between smaller units, such as regionalism, even at the price of some community or local or institutional power. The problem that regionalism faces, through no fault of its own, is the often entirely justified suspicion directed against the larger and more remote system—precisely because the system acted in remote fashion and tended to ignore local interests and grievances.

In reality, of course, regionalism ought not to be viewed as just another move toward outside control by a big, impersonal, unapproachable system. Quite the contrary, one virtue of regionalism, if properly understood and executed, is that it does not erase the individuality of the component parts; that it is not dominated by an outside headquarters with a life of its own, deaf to the wishes of its constituent members; that it is not imposed by government and not run by governmental regulations.

Regionalism—like the consortiums which provides the most effective small-scale working model for any plan toward regionalism—depends on the participants' honest-to-goodness willingness to make adjustments and occasional minor sacrifices to accommodate

the composite goals. In responding to the dilemma of no-growth, it is crucial that regional operations include a whole series of institutional pacts governing who does what and who stops doing what. Naturally, it is absolutely essential for these agreements to take into account not only what is best for individual institutions, and not only what is best for the regional consortium as a whole—but always also what is best for the clientele. When institutions agree to drop certain courses, departments, or even schools, they must make sure that students will be served, that the new pact does not seriously reduce access.

But access ought to be measured against a reasonable assumption of students' mobility. Let me give you an example. In New York, the local community in Queens is making a strong case for the continuation of the relatively new and underenrolled York College of the City University of New York, linking the construction of a permanent campus in Jamaica with the economic development of that section. Yet, it seems at least fair at a time of an overexpanded City University system to ask whether the obstacle of a bus or subway ride to one of the other City University campuses, including a major four-year institution in the same borough, is serious enough to justify the investment in another branch campus.

What seems to me entirely self-evident is that the road from small coalitions to larger consortiums to eventual regionalism is the road of reason and common sense. In this development, increasingly open options for students to cross-register in a variety of institutions, to seek out the courses that seem most useful to them and the teachers who offer what the students seek is the only feasible way, at a time of retrenchment, to keep the choices as wide as possible. At the same time, this approach must allow, indeed encourage, institutions to improve and refine what they do best, precisely because they are free to shed what has always been secondary or peripheral to their major goals. The prospect thus is one of building on existing strengths, of putting institutional capacities into sharper focus. It is, under the circumstances, probably the only road toward making less better. The alternative for many institutions would spell an accelerated slide toward bankruptcy, both qualitatively and, in some instances, literally.

From its very beginning, American higher education has been at war with itself, fighting internal battles between tradition and

revolt, between conservatism and innovation. It may occasionally seem as though new and unconventional ideas are too readily swallowed up by the old routine and assimilated to the status quo. This has, in fact, been the case in the past with some of the consortiums which *were* indeed swallowed up or at least fatally weakened by the old institutional way of doing things.

But in the past, these failures were largely the consequence of growth and affluence. Institutions could afford to ignore their commitments to consortiums. All the glory was in what you did on your own. There is every reason to hope that, just as growth and affluence undermined the drive toward cooperation by eliminating serious incentives, the changed economic and demographic outlook will give substance and motivation to that drive.

In the end, nothing less is at stake than simple self-preservation. The postsecondary education institutions surely must be aware that the climate in which they operate has changed in recent years. A less optimistic, less generous conservative spirit has once again risen, ready to restrict and to limit, anxious to apply simplistic cost-accounting to the amount of education to be made available. Now therefore it becomes our task to convince the society that the true bottom line is not the sum of the cost but the sum of the opportunities offered and accepted, of minds opened, youths made productive citizens. But the institutions, to accomplish all this, must deploy their resources efficiently and look outward to the entire enterprise, without ignoring their special role. They must act, not in isolation but in concert with others within the larger region they serve. As the nation's frontiers have closed, including at last the frontier of growth and expansion, it is up to education's leadership to make it clear that education alone remains America's invisible frontier. Let us therefore make sure that the frontiers and boundaries within education are not allowed to remain obstacles to cooperation.

IMPLICATIONS OF REGIONALISM FOR STATE-LEVEL GOVERNMENTAL POLICIES AND POSSIBLE LEGISLATIVE CONCERNS AND ACTIONS

Ronald B. Stafford

Senator
New York State Senate

The impact of regionalism varies from state to state. According to the Martorana-Nespoli report, thirty-one states report that regionalism is considered in state-level planning. Similarly, thirty-two states report consideration of regionalism in program development. However, regionalism has an impact in only seventeen states in determination of budgetary allocations.

These findings lead quickly to the question of the role of regionalism in state-level policy formation. Specifically, what options does regionalism make available to state-level decisionmakers? Further, what advantages and disadvantages does regionalism provide?

One of the advantages of regionalism which should be taken into account by state-level planners is its use to overcome an identified deficiency in education—such as inadequate access to state universities—while avoiding a substantial increase in cost. Notice the use of the term avoidance in cost, not cost effectiveness. Regionalism has resulted in savings due to reduced pressure for new programs and new facilities, hence, cost avoidance.

An excellent example of the utilization of regionalism to overcome a deficiency is Minnesota's Experimental Regional Centers, as discussed in Chapter XIV of the report. These centers were created to increase the access of the population to postsecondary educational programs. More than half of the state's population resides in the Minneapolis-St. Paul metropolitan area. Prior to 1973 there were limited opportunities for higher education in the more rural areas of the state. Consequently, the Minnesota legislature authorized the creation of three experimental regional centers, located in sparsely populated areas, to serve as off-campus facilities for existing institu-

tions. The programs of these centers are tailored to meet the needs of the local area. As a result, there is increased access without the expense of another institution.

An example of regionalism increasing access to higher education on an interstate level is the Southern Regional Education Board (SREB). One of SREB's principal activities is the sharing of educational resources involving twelve states and 190 graduate programs. Residents of these states are able to enroll at institutions in SREB states paying only the in-state tuition rate.

SREB prevents duplication of expensive programs while assuring adequate numbers of graduates from these programs to meet the area's needs. Member states share established programs thereby cutting costs. A member state can request from the SREB a number of places in a specific program. The board then contracts with specific institutions for the desired number of places. The state requesting the contract pays SREB a fixed sum per position; SREB subsequently pays the institution which provides the service.

Another important implication of regionalism is its use as a tool for decentralization. The most frequently used funding source for the implementation of regionalization actions is that of the state government—which according to the report, was a source of funding for 76 percent of those actions reporting funding. State-level funding was far greater for implementing actions than for state-level coordination activities, which tend more toward centralization. In fiscal year 1976-77, nine times as much money was spent nationwide at the operating level than for state-level supervision. Further evidence of the tendency toward decentralization is the success of institutionally authorized regionalization in attracting funding. The data presented in the report indicate that these types of actions are most successful in attracting funding from a wide variety of sources. Thus postsecondary regionalism seems to be emerging as a decentralizing influence and not one stifling institutional action.

Regionalism in my own state, New York, has been used largely as a tool for decentralization, and more specifically has been an effort to improve local coordination and communications between and among institutions in the state. These efforts have only met with mixed results.

The Regents' Regionalization Plan, described in detail in Chapter XIV of the Martorana-Nespoli study, divides New York

into eight regional subunits based on location and distribution of resources. When a majority of institutions within one of these regions requests it, a Regents Advisory Council is created within that region. The chief executives of the public and private institutions in the area, as well as persons from the general public, are appointed to the council. However, not every institution in that specific region is required to join the council.

The goals of these councils are purely regional—interinstitutional communication and long-range planning *within and for the region*. The councils are encouraged by the Board of Regents to experiment with a number of activities that could be beneficial to the region. When applicable, successful methods can be transferred to other councils.

These councils, however, have suffered from a severe lack of funding. Occasionally, member institutions have loaned staff time with varying levels of success. Furthermore, the Regents' Regionalization Plan has been hindered by the establishment of a competing plan of the State University of New York. The result is that New York State must find a plan suitable to SUNY and one with adequate funding. The significance, though, still remains—a plan emphasizing coordination but at a decentralized, regional level.

These examples, as well as others that could be cited, show rather conclusively that duplication of effort can be minimized and costs drastically reduced through the cooperative utilization of resources at the regional level. Other uses of regionalism and the cooperative use of vital and limited resources should be examined if higher education is to provide quality educational services to our citizens while meeting the challenges of shrinking enrollments, inflationary costs, and—especially for the public-supported institutions—cutbacks in state budgets.

Unlike the doom-sayers and the cynics who are predicting the decline in the value of postsecondary education, it is my opinion that the current climate for postsecondary education nationwide offers a fertile field for innovation, ingenuity, and excitement for those individuals who are dedicated and capable of making some important decisions. Legislators and educational administrators must form a partnership in order to maintain the future of our postsecondary educational services at a quality and cost-effective level.

I believe that the following decisive actions must be taken on the parts of legislators and administrators alike. First, legislators must be willing to resist the temptation to support their constituents' calls for massive cutbacks in educational programs for the sole purpose of appearing "fiscally responsible." This short-term decision will only serve to hasten the decline of our colleges and universities and, in the end, cause greater economic, social, and political damage to our society through the reduction, if not the elimination, of quality postsecondary educational services. Thus, legislators must continue to provide support for higher education, but not without insisting that educational institutions must be held accountable for the tax dollars that they receive from the public treasury.

This brings me to my second proposal: Educational administrators must begin to think like corporate managers. And why shouldn't they? Education is big business, and the quality of its product greatly impacts our society. Thus, educational administrators must adopt cost-effective management measures to insure quality services at the least cost to the taxpayer.

Regionalism is one of these management tools. Colleges and universities, public and independent, must drop their provincialism and learn that it is in their best interest to share resources, to lessen and finally eliminate duplication, and to cooperate in the development of quality educational programs. Today, our educational community is hampered by restrictive academic policies toward each other. Our colleges and universities have built up "barriers" against each other—probably not knowingly, but as a result of pride, a desire to serve, and a provincial attitude of "what we serve here is the best for our students."

Thus, credits earned at one institution are looked upon with a jaundiced eye by another. To me, this is ironical since each institution may be a member of the same regional accrediting agency. In fact, the institutions may be part of the same university system (such as in New York State) and still reject each other's credits! Articulation (the transferring of credits from one institution to another) is only one of the major problems that educational administrators must address if we are to achieve effective cooperation at the regional level.

I feel that the issue of articulation between institutions—first within a university-wide system, then between institutions within a

region, and finally among all institutions (public and independent) within a state—is the key factor to the future survival of quality education in the United States. Yes, let us preserve our diversity and jealously protect the autonomy of our institutions, but let us make them realize that cooperative action—the sharing of resources, facilities, courses and professors—is in the best interest of the student, the institution, the taxpayer, and society.

You may say, "Yes, it all sounds good, but what happens if institutions fail to overcome their provincialism and refuse to change? What actions do you propose then?"

As a legislator and someone deeply involved with higher education in the state of New York, I have always taken a laisse-faire position regarding the administration of our colleges and universities. Clearly, this is the responsibility of the boards of trustees and the presidents of the individual institutions. The sound administration of their institutions is their raison d'etre, and legislators should not get involved in those details of administrative review. But, as elected officials, we are responsible for the development of public policy, the public good, and the best use of our tax-dollars.

Thus, if institutions cannot overcome their provincialism, legislators then must act to initiate this change for the public good. First, legislation should be drawn to require that all institutions within a given university system should provide the complete transferability of not only credits, but the ability of students to take courses at any sister institution without penalty. I know that the impact of this legislation would cause, at first, great concern and raise cries of "legislative interference," "denial of academic freedom," and the spectre of state-controlled education. But this action is a necessary one and must be taken either voluntarily or legislatively for the future well-being of our educational system. In these times of spiralling inflation, budget constraints, lower enrollments, and the changing attitudes toward the value of a college degree by our youths, no longer can our educational institutions afford to remain aloof and independent from their sister institutions. It is in this framework that articulation among educational institutions becomes the first important step toward regionalism.

Second, we should get away from the postwar attitude that everyone should go to college or that college is good for everyone.

Studies have shown that this is not true. In fact, our youths have come to this conclusion before we have—as evidenced by the declining enrollments, postponement of going to college, and the new "college stop-in/stop-out" student. This new attitude is beginning to take hold with our adults as they change careers in mid-life and pursue new interests and skills in continuing education classes.

The "sacred cow" of the college degree has finally become the gorged ox as employment opportunities for college graduates lessen and the ratio of cost of education to income earned narrows between the college graduate and the noncollege graduate. Taxpayers who once supported blindly and devotedly all the programs offered by their higher educational institutions are now seriously questioning the enormous cost of education. They are beginning to ask, "Is it worth it?" in the face of lower SAT's, delining reading and writing skills, and the inability of a large part of our graduates to function effectively in society. These new attitudes regarding education are a clear statement by the public that our educational systems and their administrators and—yes—our legislators are not fully meeting the new challenges and desires of our complex and ever-changing society.

Therefore, legislators must provide our educational administrators with the means and support to develop new programs—programs that blend the best of traditional education with the needs of today. For instance, students—young and old alike—should be afforded the opportunity to take college courses, self-enrichment courses, vocational courses, and skills development courses without the need to be matriculated or in a degree program. And this learning should take place not only on the college campuses but wherever there is a desire to have teacher and student come together for the purpose of learning.

As a legislator, therefore, I propose that institutions be encouraged through special grants and specially earmarked state appropriations to develop with their sister educational institutions—whether they be senior colleges, community colleges, business and vocational schools and high schools—a consortium of educational resources. This third step toward regionalism will help the educational community by reducing duplication of facilities and services, and by providing an exchange of ideas and programs among the consortium members with a resulting improvement in their quality

and a greater opportunity for our citizens to have access to an educational experience.

Fourth, state legislatures must take the initiative in helping to foster the concept of regionalism not only through the shrewd application of appropriations and special grants, but by enacting legislation that would provide the overall guidelines for planning, information gathering, program evaluation, and assistance in program implementation. I am not proposing that state legislatures get involved in the administration of these regional consortiums, but that they provide the initial impetus to give educational institutions a framework in which to work.

For instance, in New York state I have proposed that a Higher Education Policy Council be created in order to review the state's educational services in light of the state's educational needs. This council would be composed of the state commissioner of education, the chancellors of the state and city universities, the president of the Commission on Independent Colleges and Universities, and a number of other distinguished members of the educational community. The council would be charged with the responsibility—among other duties-- "to determine the overall policy and direction of higher education in the state."

This charge would include the following comprehensive regional planning activities as enumerated by the State Education Department in its 1972 report, *Education Beyond High School:* (a) A complete assessment of regional needs and how the state and the state-wide educational community can contribute to the uniqueness of each region while promoting a common state-wide educational goal; (b) A complete inventory of the region's resources in terms of facilities, faculty, educational programs and services and unused capacity; and (c) A determination of the appropriate roles and levels of participation by private and public institutions in meeting the total needs of the region and state.

This is a big job, but one worth the effort in terms of time and money. The council would start off where the former Temporary State Commission on the Future of Postsecondary Education in New York State, better known as the Wessel Commission, left off. I believe that the council would provide new directions for higher education in New York and in the long run greatly assist in the development and implementation of a regional/state-wide coordinated

educational system. The benefits from such a system are obvious, but in spite of these far-reaching advantages, they will not take place if legislators fail to act—and act decisively and promptly.

The voters are beginning to give legislators, state governments, and society's social institutions a clear message. We are tired of the duplication of programs, the growing bureaucracy (and, I mean not only of governments, but of educational programs), the unresponsiveness of our societal institutions, and the enormous cost it takes to maintain them without clear and positive results. Only recently, the voters of California have taken decisive action and voted to cut property taxes. The handwriting is on the wall. Hard decisions must be made if we are to save higher education from the deteriorating effects of inflation, duplication, and provincialism. Both legislators and educational administrators must realize that the key to the solution rests with regionalism.

HIGHLIGHTS OF REACTOR COMMENTS

Reactors to Senator Stafford's remarks, for the most part, discussed regionalism experiences in their own states. Legislation passed in one state mandating and funding regional planning on the K-12 level was cited as producing good results in cooperative efforts. Encouraged by this, state planners are now trying to determine what management tools are needed to encourage regional educational planning at the *postsecondary* level.

The ability of postsecondary institutions to respond to fluctuating enrollments was emphasized as a serious concern. It is against this background that regionalism is attracting considerable attention in the states.

Numerous opportunities for interstate cooperation were noted, along with the caution that there is oftentimes strong resistance among legislators, regents, and even institutional leadership to specific programs such as interstate tuition reciprocity.

SOME OBSERVATIONS ON THE BUDGETARY IMPLICATION OF REGIONAL ACTIONS IN MARYLAND

H. Louis Stettler III

Deputy Secretary
Department of Budget and Fiscal Planning, Maryland

It is fitting that someone from a budget agency address this group since, as noted in the study *Regionalism in American Post-secondary Education: Concepts and Practices*, state budget agencies are among the most frequently cited extrapersonal forces having a positive impact on regionalism developments throughout the country. This funding should be tempered with the observation that all budget types are *not* cut from the same cloth, as believed by many public higher education administrators.

Regional-type actions as described in the study can well lead to cost-effective and efficient solutions to problems. They also can lead to the expansion of services previously limited by cost constraints. Most states have some type of balanced budget requirement. With the recent experience of the early seventies in mind (slowing revenue base growth, tax increases, cost inflation, and continued pressure to expand programs at rates achieved in the sixties), budget offices are not only concerned about efficient application of the existing resources assigned to a program but also about the assignment of new resources.

Clearly, regional approaches promise some efficiencies, while at the same time the approach raises problems whose solutions may require more resources. I will briefly discuss, first, some of Maryland's "regional" actions and inactions and the response of the budget office and, second, certain generalizations concerning the impact of regional actions on resource allocation.

INTERSTATE AGREEMENTS—INTRODUCTION

Maryland has a long history of participating in interstate ventures and regional cooperative actions. Probably the first such

major undertaking was in the early nineteenth century, when the state participated in the development and construction of the Chesapeake and Ohio Canal. As an economic venture, it was a failure (that is if its present recreational values as a hiking and biking refuge for office-bound Washingtonians is not discounted at an abnormally low interest rate). The failure was the failure to identify and choose the proper technology. The state's principal city was more perceptive of future trends and chose instead to back the Baltimore and Ohio Railroad which as both an engine of economic development and an investment was successful in its own time. Since then the state has participated in a great number of interstate and regional cooperative actions on a wide range of concerns. Many of them have been or are concerned with the management of the common water resources, particularly the Chesapeake Bay. As the Martorana-Nespoli study indicates, Maryland also participates in a number of interstate programs in higher education.

The impetus for state participation and the extent of regionalism in these ventures and actions have differed substantially. Clearly, the river basin planning and fisheries compacts have a strong basis in the perceived need for cooperation of government within a region defined not by seventeenth and eighteenth century European imperialists but by physical evolution. Other actions, such as those addressing problems of children living a stone's throw from an out-of-state elementary school, are based on boundaries drawn by man and the perception that mutual cost savings would occur if territorial isolation were not a binding principle. Still other actions, particularly those in which the state purchases special education services for children from both contiguous and noncontiguous states, appear motivated solely by economic reasons.

Generally, the state budget office's view of these ventures and actions is favorable or supportive, with the degree of support roughly correlated to the expected economic gain. I use the term economic gain rather than cost saving, efficient resource utilization, or access as used in the study since these terms have a high degree of interchangeability in the particular situation addressed. Economic gains occur if (1) services committed to be offered can be offered at a reduced price; (2) a service not previously offered by the state can be offered at a reduced price or offered earlier than if provided

directly by the state in a normal mode; or (3) excess capacity can be utilized and additional revenue generated. Perhaps the best examples are the purchase of services either from out-of-state or in-state providers.

INTERSTATE AGREEMENTS—PURCHASE OF SERVICES FOR SPECIALIZED PROGRAMS

Maryland has had substantial experience with out-of-state purchase of services for specialized programs. Given the types of responses listed in the Martorana-Nespoli study and the characteristics of the major regional activities and their funding, it would appear that this class represents the most common existing state regional action.

Generally, the state budget office has supported the purchase of out-of-state slots for high-cost professional education. The reasons are economic and generally short run in nature.

First, the purchase of out-of-state slots obviates the need for new capital expenditures and subsequent operating costs. Recently, there has been within the state a major discussion over a proposal to establish a veterinary school. It is conservatively estimated that the capital facilities will entail construction costs of $20.9 million and new long-lived equipment worth $2.5 million. To put these numbers in perspective, the state's General Construction bond authorization has been running $50-70 million annually. So such a school represents a major commitment. In subsequent years operating costs of a minimum of $1.5 million will be required, in addition to debt service requirements on the bonds floated to finance the capital outlay.

Second, the Maryland market for graduates of such a program is limited. Estimates are that at most sixty local students per class would matriculate; the efficient size of the program, however, approximates 100 students per class.

Third, on a year-to-year basis the number of slots is very susceptible to state control and can be varied somewhat to respond to budget conditions. (This is certainly not the case in physical facilities that must be heated and maintained and tenured staff that must be supported.)

Fourth, the fiscal risk is minimized by purchasing slots rather than providing direct services. Clearly, any major capital program

takes years to complete and over that time major changes can and do occur. Unfortunately, forecasting the demand for services may change as market forces and fashions change, and as a consequence enrollment may not materialize. Costs are likely to be impacted by inflation—a variable whose forcasts are almost always incorrect over any significant period. Federal regulations and other outside actions also tend to change over the project's gestation period. The cumulative effect of these changes is clear to anyone who has reviewed the operating requirements of capital projects as submitted with the proposal and as submitted in the initial annual budget after completion of the project. The risk (as opposed to cost) avoidance is a special concern in state budgeting since states generally have some type of constitutional or budgetary requirement to maintain at least some surplus at the close of each fiscal year.

Fifth, the perceived demand for the service may be of limited duration. There has been a proposal to develop an optometry school. One of the principal arguments is that the existing practitioners are approaching retirement age and need to be replaced. With demand for additions to the stock very uncertain, an investment in facilities and program development is very risky.

On a long-term basis, purchase of slots in specialized programs may or may not be supported by a budget officer as a proper resource allocation for a number of reasons.

First, clearly the purchase of slots permits a state to expand the scope of government services at a lesser cost than direct provision. Given that many high-cost programs would not be offered if services were provided rather than purchased, the presence of an alternative delivery system puts pressure on the budget constraint.

Second, the purchase of slots in specialized programs does not completely dissipate the demand for additional local facilities. Local institutions often seek the prestige associated with a more comprehensive program; but more often there are institutional externalities and complementary relations with existing programs which increase the value of the program to the institution. One such institution, actively seeking a vet school in Maryland, is stressing the benefits and cost savings that would occur because it also maintains a major medical research program utilizing substantial numbers of small animals. Of course, there are also externalities within the community both for practitioners, allied activities, and businesses. All of

these externality agreements tend to have validity—but more so to groups other than budget offices which have a more narrow focus on state finances.

Third, in the long term, of course, there is the possibility that out-of-state slots may not be available in the numbers or terms favorable to the state.

Fourth, there always remains the concern that direct provision of services might be less expensive in the long run. In fact, over long periods it would seem that continued purchase of slots would be expected to save costs only if other states tended to subsidize both foreign students as well as their own, if other states had some resource cost advantage, or if the optimal scale for state operations were inefficient. In the case of the proposed vet school in Maryland, it is not clear wherein lies the state's long-run interest. In a similar situation in special education, best practice procedures changed and the state began to educate more of its handicapped in-state as opposed to out-of-state. Some early evidence suggests that the return is not only programmatically but also fiscally beneficial.

In sum, the purchase of out-of-state slots is viewed by the budget office as an economic tool. The location of the slots and the association of the slots with regional organizations is of very little concern. Even recognizing that in the long term the purchase of specialized programs out-of-state may forego externality opportunities and *may not* be cost effective, the effort to purchase specialized training will be expanded. It is also probably true that expansion will serve as a substitute for in-state service expansion; there is little in the history of these activities, however, that would yield the expectation that interstate purchases replace existing but inefficient size state programs.

INTERSTATE AGREEMENTS—PURCHASE OF GENERAL SERVICES

Although the state has a long history of participation in interstate compacts for specialized programs, the first completed effort in more general higher education services will occur this year. The State Board for Higher Education will enter into a contract with West Virginia to permit a limited exchange of students.

Essentially the basis for the contract is geographic and demographic. Maryland has a long tail with three counties, each with two-year public community colleges, locally operated but partially state financed, but only one four-year residential college operated by the state in the westernmost county. The expectation is that a limited number of West Virginians would attend a community college in the westernmost county while West Virginia would provide slots for a limited number of Marylanders in the easternmost county. These latter students would attend on a commuter basis. The implementation required a law enacted during the recent session of the General Assembly which authorized the state government to count certain out-of-state students as in-state for purposes in the community college aid formula. (It should be noted that similar border-access problems have been addressed in lower education.)

Clearly, the proposed compact has a number of benefits. It reduces the local demand for a new four-year college in the Washington County area; however, the state's problem now seems to be too many four-year campuses that are operating below efficient levels. On the other hand the incoming students will be served in an institution that is operating below capacity.

The difficulties as perceived by the budget office are both state specific and general in nature. The proposed arrangement requires an alteration to a state-aid formula to local government. Not only is this viewed as the proverbial camel's nose but also the resource cost of the additional out-of-state students is expected to be substantially less than the additional state and student revenue accruing to the local community college.

Of a more general nature is the concern that the "lack of commuter access to a four-year college" raises a more general issue of the state-wideness of higher education and for that matter other programs. Typically state functional programs are delivered through the state according to various hierarchies based on concentration of demand, economies of scale of delivery, existence of facilities, and historical accidents and events. Rarely is access uniform. In this particular case the problem is not college access; it is a particular mode of access—commuter access. There still remains limited access to the individual courses and major.

INTRASTATE REGIONAL PROGRAMS–INTRODUCTION

Like most states, Maryland delivers many programs on a "regional basis," where "regional" takes a myriad of definitions. In some instances regional programs cross major jurisdictional boundaries; in other instances regional programs are coterminous with the major political subdivision, the county. Certain regional programs provide for substantial planning input and control by regional people; for others there is statewide uniformity and central control. For some programs the region is an aggregation of local units with a meaningful focus from a program perspective, yet in others, the region is purely administrative in design. As the Martorana-Nespoli study points out in Chapter II, comprehensive regionalism is plagued by a lack of a common colored map.

Historically, public higher education in Maryland is provided by both local and state government. Clearly, the local program, the two-year community college, has a regional thrust, but the region is limited to a single county. The public bachelor's and above programs have been provided by the state. The state has not organized this service on a regional basis either programmatically or administratively. With the exception of a single four-year campus that formerly was a teachers' college for a local school system, the identification sought by campuses offering four-year degree programs is that of statewide if not national institutions, and not that of regional centers.

INTRASTATE PROGRAMS–STATE SUPPORT OF LOCAL ACTIVITIES

Maryland, like most states, has a population density that is not uniform, however, not to the extent of a Minnesota or Utah. Community colleges are primarily local county responsibilities, and because of the population distribution in the state, there are clearly counties for which potential local enrollment is insufficient to justify a separate institution. Consequently the law provides for the establishment of regional community colleges, and the aid formula provides a higher FTE subsidy for regional colleges serving small counties.

The recognition of economies of scale is unusual in the state-aid formula. With the exception of a health formula which is generally based on staffing ratios but provides a minimum of a single health officer, no other state-aid formula distributes funds on a basis consciously inverse to population. The traditional aid formula, where not proportional or wealth equalized, still reflects factors to conform to the theory of municipal overburden and the diseconomies of large scale operations.

INTRASTATE PROGRAMS—STATE ACTIONS IN EXCESS CAPACITY AREAS

One of the functional areas that has not traditionally been viewed as regionally organized is higher education. The state has had a university system, a college system, and a partially state-financed community college system. There is also an institution which the state took over but did not mold into a system and another campus which was emancipated from a state system and established as a separate university. This emphasis on state systems does not mean regional considerations are not present. Competition among the branches and local political demand led to the creation of a new campus of the University of Maryland stressing four-year programs in a regional market already crowded with three state colleges. (The error was compounded by a bad forecast of demand.)

The legislative concerns cited in the Martorana-Nespoli study with the need for regional coordination of higher education in the lower Eastern Shore and in the Baltimore metropolitan region principally arise from two sources. First, within each region there are wide disparities in the General Fund cost per FTE. In the lower Eastern Shore the costs are $3,950 and $1,540. In the Baltimore region the General Fund costs range from a high of $2,385 to a low of $1,390. These differences are typically ascribed to gross underutilization of the high-cost campus. Second, in each area there are lingering affects of a prior system of racially segregated higher education. Not the least of these affects is the conflicting federal pressure to desegregate and the community pressure to retain its institutions and many of its traditional roles and values.

The solutions posed in each of the excess capacity cases is an unusual, but not unexpected, mix of system and regional oriented

efforts. The State Board of Higher Education, which is responsible for overall coordination of public and private higher education in Maryland, is attempting to limit and channel growth in each area. The board has begun to define rationally the missions and goals of the various institutions and recommended various budgetary actions to limit growth in the stronger institutions. More directly it has taken a prophylactic and somewhat regional approach to limit and channel growth in each area. In the lower Eastern Shore, new programs are being authorized for the underutilized campus in the hope of making it more attractive. The other campus is expected to retain its present program mix lest an enrichment further drain students from its competition. Interestingly the new programs proposed are statewide in their appeal. In the Baltimore area the main action appears to be the limitation of new duplicative programming.

The various segments, however, are proceeding somewhat differently. The University, which has underutilized campuses in both areas, has proposed the establishment of new programs and suggested the transfer of certain programs from its main campus.

Interestingly, there is little official support in the educational sector to close a campus, an admittedly extreme measure, or to rearrange the existing programs within the region among the various campuses. The solutions then, although somewhat regional both in problem definition and in terms of certain actions being limited to the particular region, do not provide any new planning or budgetary framework.

Although there are no new mechanisms and although the proposals have not been fully analyzed, a number of budgetary observations can be made. First, the solutions tend to be capacity augumenting. The problem seems to be analyzed as twofold: campuses are not attractive, and given the fixed costs with small enrollment, there are high unit costs. The solution then is to establish attractions on campus and induce increased participation, particularly from out of the region. Hence there is state service expansion.

Second, service expansion is to occur at high-unit-cost campuses. Again the presumption is that the marginal cost of these campuses is less than average and less than the marginal cost at other institutions. Although our cost models are still rather crude, the evidence is that the presumption is not true, and hence the solution may not offer a least-cost solution for a given enrollment.

Third, enrollment limitations and shifts of programs from one campus to another defy what is clearly a demonstrated and revealed preference for the *status quo ante*. Clearly, there is something to the arguments raised by faculty and students resisting shifts that complementary relationships within both the campus and the community will not be replicated at the proposed new home and that this failure will affect the program. Limiting enrollment, at levels less than capacity, also tends to destroy "the extra benefits" or consumer surplus enjoyed by students attending the attractive campuses. Certainly the social and individual benefits obtained by faculty, students, and consumers at attractive or successful campuses could be offset or compensated for if the shifts and limits lead to cost savings, but this does not appear to be the case for small adjustments but certainly would be if major expansions were permitted.

INTRASTATE PROGRAMS—STATE ACTION IN DEFICIT SUPPLY AREAS

Since the distribution of higher education services is often a function of where some philanthropist, minister, or committee chairman resided a hundred years ago, it is reasonable to find that the program sets offered in the various regions of the state vary considerably. In discussing interstate agreements the issue was raised that the meaning of "access" could conceptually be expanded to very specific programs.

Without a doubt "regional" interests have promoted a pressure for locally provided services since the dawn of government. This natural desire has recently allied with the state need to find a solution to the declining enrollment problems of a former black four-year college. A tentative proposal was put forth to locate at that campus a number of programs that were deemed inaccessable to the region's population. In particular, nursing and night law programs were proposed to be established within the Maryland suburbs of Washington.

Currently the state offers such programs in the Baltimore area, and there is a substantial participation in these programs by residents of the Washington area. Alternatively there are nearby programs, albeit not subsidized by the state of Maryland, offered by private institutions in the district.

The concerns of the budget office are many, but they hinge on the definition of when the criteria for determining an already existing program will be replicated at another site rather than expanded. Focusing on regions and the mix of program offerings clearly will lead to pressure to fill in the gaps.

SUMMARY

It is a truism that the impact of regionalism on budget procedures and allocation will depend on what regional mechanisms are selected. It appears most likely that in Maryland the tripartate plus public system and the independent private system will endure. Given the State Board's powers of program approval and statewide planning responsibilities, regional actions are likely to remain concentrated on expansion type decisions rather than on actions to rearrange existing programs within a region.

Most budgetary system program bases are sufficiently robust to accomplish either set of actions without undue strain. The more severe departures into regional administration may require more reliance on formulae. Also, there may be more need to budget for purchase of service type contracts in the budgets of agencies requiring services and not to provide directly state funds in budgets of campuses selling the service. This mechanism has been widely used in health and other human resource programs in which more integration of existing programs has occurred.

Basically, regional approaches will find budget support in areas in which meaningful cost savings can be obtained. It would seem that the major gains would occur in existing program areas, as these have occurred in the private sector which has seen mergers and closings. But so far the public sector has been immune. A second best is controlled expansion through regional planning and program approval and purchase of educational slots.

The concern, however, of the budget office is that our emphasis on regionalization in higher education might also lead to a situation in which higher education is still delivered on a statewide basis, but the pressure for services and access to the state subsidies is viewed from a more narrow perspective of regional availability.

HIGHLIGHTS OF REACTOR COMMENTS

Underscoring Dr. Stettler's comments, reactors agreed that among the major problems in promoting regional interinstitutional cooperation are: "Just the vision of regionalism," the definition of regionalism, and the question of leadership.

"Leadership," it was observed, "must not be taken only by the state budget or governor's office, but by the educational community and the legislature at the same time." Many times these interests utilize different implementation strategies to accomplish the same goals—and that often results in unnecessary duplication and waste.

Comments of reactors raised speculation that in a "no growth" situation for postsecondary education, it is likely that a coercive element of some kind will be needed to "encourage" regional interinstitutional cooperation. Conversely, the view was expressed that regionalism has the most potential as a strategy for planning and developing *expanded* services and programs. Four areas were cited as especially promising in this regard: (1) graduate education programs; (2) off-campus programs; (3) vocational educational education programs; and (4) capital construction projects.

IMPLICATIONS OF REGIONALISM FOR STATE-LEVEL PLANNING AND COORDINATING EFFORTS FOR POSTSECONDARY EDUCATION

Richard C. Hawk

President
Higher Education Assistance Foundation, Minnesota

Assessing the implications of regionalism for state-level comprehensive planning and coordinating efforts for postsecondary education is a challenging endeavor for several reasons. As the Martorana-Nespoli report suggests, regionalism means different things in different states and the outcomes of regionalism may very well be the result, not only of several factors and conditions, but of the interaction of many complex forces, situations, and actions.

Since regionalism is not a virtue to be pursued for its own sake, but rather a mechanism for achieving some educational, economic, political, or social benefit(s), its presence or lack thereof is not an indication of success. Similarly, the selection of regionalism as a mechanism to be employed in the process of planning and coordinating postsecondary education must be made in the context of other available alternative mechanisms for achieving goals.

If, as the report suggests, some goals of regionalization must be judged primarily in terms of speculation about what might have been, empirical evidence may never be adequate justification for utilization or evaluation of the mechanism. The most obvious findings in this regard are that the major goals of regionalism are related to "economy of operations" and that "cost avoidance" is a more likely outcome than cost reduction.

Assessing implications is complicated further by the fact that the study report, which provides the basis for this conference, treats regionalism very comprehensively. It includes both intrastate and interstate efforts as well as arrangements for both delivering postsecondary education programs and planning and decision making on a regional basis. That the study team was able to rationalize such a large amount of information on phenomena of such diversity is a remarkable feat.

In reading the study report, I was reminded once again that the question determines the answer, and I wished that I had the time to search the literature to compare the findings of this study with those of studies for which regionalism is treated as a dependent variable. For example, studies of interinstitutional cooperation may provide additional perspective by assessing the differential effects of (1) efforts involving institutions within a region aimed at meeting a regional need and (2) other kinds of cooperative arrangements. Studies of statewide academic planning processes may address the significance of considering regional (as opposed to statewide) needs and opportunities in reviewing either new or existing academic programs. My guess is that comparing the findings of such other studies with findings in the Martorana-Nespoli report would enrich our understanding of the role of regionalism in achieving certain objectives.

In order to stimulate your thinking and discussion about regionalism and planning and coordination of postsecondary education, I shall offer seven propositions which seem to be consistent with the study report, but which, in all candor, reflect my experience during eleven years as a planner and coordinator. Since they do reflect experience, these propositions are based on my own biases.

One such bias is that I am favorably disposed to regionalism. This should be obvious from reading the description in the study report on regionalism efforts in Minnesota and awareness of my previous role as Executive Director of the Minnesota Higher Education Coordinating Board.

A less obvious bias is my belief that interstate and intrastate approaches to regionalism are as different as they are similar in their implications for planning and coordination. Generally they meet different kinds of goals, involve different kinds of people, and require different strategies. To a considerable extent these differences emanate from the fact that intrastate efforts relate entirely to needs and programs which are under the purview of the planning and coordinating agency and involve decisions about how the state should develop and organize its internal resources and efforts to achieve goals and meet needs. On the other hand, interstate regionalism involves issues relating to the extent to which and the conditions

under which a state may wish to pursue an interdependency relationship with other states and requires cooperative effort in the absence of any superstructure over the cooperating states (unless they form some more comprehensive structure as part of the cooperative effort which is entirely dependent on continuing support of the cooperating states for legitimacy).

In keeping with the study report, I shall attempt to avoid dwelling on the differences between intrastate and interstate regionalism. However, you deserve to know that some of my remarks would have to be modified if I were to relate them more directly to differentiation between intrastate and interstate regionalism.

The propositions are as follows:

1. *A regionalism perspective is essential to effective planning and coordination of postsecondary education.* By this I mean that recognition of and attention to postsecondary education needs and opportunities in areas both smaller and larger than the geographical area of the state is required for planning and coordination to be responsive to the realities of individuals and groups to be served. This is not to suggest that a regionalism perspective should replace or even take precedence over a state perspective. It does suggest that the state perspective should be tempered by regional awareness. Regionalization is not a necessary consequence of a regionalism perspective, but regionalization does become an alternative which demands consideration, along with the other alternatives, when a regionalism perspective is brought to bear on issues and problems.
2. *Efforts of the planning and coordinating agency are central to success in regionalism.* Although a planning and coordinating agency may not be able to assure success of regionalism, it can almost certainly assure the failure of regionalism through lack of support. In most instances, success in regionalism will require positive leadership from the planning and coordinating agency over an extended period of time. Leadership and support may be highly visible and direct or it may be subtle and indirect, but it must be present for long-range success in regionalism. Accordingly, choices regarding regionalism rest more clearly with those responsible for planning and coordination than anywhere else.

3. *Regionalism has greater potential for enhancing quality and effectiveness than for reducing costs.* Actions to assure reponsiveness to regional needs or to utilize the capabilities of programs and institutions more effectively through combined efforts based on interinstitutional cooperation or coordination can improve the quality of postsecondary education services. With few exceptions these actions are not likely to reduce budget requests, and, as the study report emphasizes, they may require additional expenditures to support the regionalism effort sufficiently to facilitate success.

4. *Regionalism efforts may represent a viable alternative for providing new or expanded services at lower cost than possible alternative efforts.* The "cost avoidance" concept which emerged in the study report probably has genuine validity. In developing efforts to expand service, some forms of regionalism can realistically be considered with a view to providing a new or expanded service with a smaller investment. Obvious examples are (1) using the contributions of several existing institutions to provide program opportunities, rather than establishing a new institution in a region, and (2) obtaining student spaces in and providing some financial support for an expensive program in another state, rather than establishing a new similar program.

5. *Regionalism can be used to improve the planning and coordinating process.* Introduction of regionalism can be used to permit problems and issues to be approached more effectively by permitting the planning and coordinating agency to interface differently with both situational problems and institutions in the planning and coordinating process. By using the regionalism mechanism, the planning and coordinating agency may be able to cut through systems interests and concerns and focus attention more productively on individual institutions from different systems, for example.

6. *Regionalism may complicate the planning and coordinating process and increase the burden on the planning and coordinating agency.* The other side of the coin which may strengthen the planning and coordinating process is the additional complexity and pressures which regionalism arrangements often exert on those responsible for planning and

coordination. Regionalism arrangements often cause the formation of new special interest constituencies. In addition, they become another factor which must be coordinated and considered in planning. By focusing attention more specifically on regional needs and programs, they also have a tendency to strain the state-wide perspective which the planning and coordinating agency must maintain (along with a subordinate regionalism perspective) and may stimulate additional conflicts between the coordinating agency and the various groups whose interests it must moderate. Moreover, new kinds of political pressures often emerge with the introduction of regionalism arrangements.

7. *Planning for regionalism must include adequate attention to resistance which will be met.* As with any innovation, inertia serves as a drag on efforts to develop regionalism arrangements. More significant is the threat to autonomy to which the study report refers which often is perceived by institutional officers and others who may be affected. Such perceptions are not entirely without foundation. Regionalism arrangements may in fact produce some results which are counter to the immediate self-interests of individual institutions. They may have unknown implications for the role and scope of some institutions, and they certainly may change the configuration of political forces in ways which the individual institution cannot anticipate or deal effectively. Since the perceptions usually are more extreme than the foundation on which they are based, the planning and coordinating agency which undertakes to introduce new regionalism arrangements must be prepared to face stiff resistance, which may or may not be highly visible, and to give substantial attention to overcoming resistance over an extended period of time.

These propositions suggest a variety of implications for regionalism in state-level comprehensive planning and coordinating of postsecondary education. The more specific implications of any particular regionalism arrangement in question and the context in which it appears may have much greater import than the general implications suggested here. All regionalism arrangements are not of

equal worth. Some are more difficult to achieve than others and the benefits are equally differential. That which is feasible and effective in one place at a given time may be completely inappropriate for a different context. While it is no panacea, regionalism, according to the study report, certainly has been demonstrated to be an effective mechanism for utilization in appropriate ways and under proper conditions. At the very least, the study findings indicate that those responsible for the planning and coordination of postsecondary education should give serious consideration to the opportunities and pitfalls which regionalism may offer as a mechanism for achieving important objectives.

HIGHLIGHTS OF REACTOR COMMENTS

From reactions to Dr. Hawk's remarks, four principal tools can be outlined that were seen as potentially useful in responding to future educational needs as resources become more limited: (1) decentralization of services; (2) the purchasing of "slots" for students in special or high cost programs; (3) use of itinerant instruction provided either by faculty away from their primary institutional bases of employment or by special media services; and (4) contracting for alternative delivery systems of educational programs. These different approaches to solving program needs will require area (regional) analyses, and the result of such planning will be a contributing and enhancing factor to regionalism.

Leadership was again stressed as a crucial factor by reactors. It was emphasized that the "pace" of regionalism will depend on the availability and emergency of leadership—the pace obviously accelerating if the governor takes an active interest and assumes a supportive role. It may be that in order to overcome a "leadership vacuum," states will have to create some kind of coordinating agency with appropriate planning and coordinating responsibilities even if there already is a state-level governing agency present. The immediate needs of an individual state were seen as a factor in how a state looks at the various aspects of regionalism—the needs of one state not necessarily being the needs of another.

IMPLICATIONS OF REGIONALISM FOR POSTSECONDARY INSTITUTIONS AND STATE-GOVERNED SYSTEMS

Robert L. Gale

President
Association of Governing Boards

For once we seem to be holding a conference and talking about something that is still in an early stage of development. I think this is healthy and shows that in higher education we have some capacity for being on our toes and spotting a trend, but at the same time it introduces the problem of having to talk about something that none of us yet knows a great deal about. Nearly everything that I know about it myself comes from reading the report we are discussing.

I would like therefore to talk about the report, point out some things in it that seemed to me to be significant, add a few comments, and in the light of its findings, try to take a look at the future from the point of view of the institutions involved in regional cooperative arrangements.

Starting with the question of "Regionalism, what it it?" the study defines regionalism as a concept that considers collectively all or several postsecondary institutions in a section of a state or of adjoining states, and seeks to establish a coordinated relationship among them on goals, programs, and/or resources. *Regionalization* is the process by which the concept of regionalism is implemented.

What separates regionalism from the general subject of interinstitutional cooperation is an official state-level sanction or recognition. This definitely provides a special character to the cooperation, especially where the government agency is the source of the impetus toward the cooperation. This in turn brings up the question of why does a state government, or the federal government, want to promote cooperation among colleges and universities. The main answer is not difficult to find—it is money. Government wants higher education to save money and believes that coordinating the programs and activities of neighboring institutions is one way to do it.

There are other reasons that go back into the sixties, when government was less concerned about saving money. In Title III of the Higher Education Act of 1965, the federal government encouraged consortia of many types. In the 1972 amendments the 1202 Commissions were created with coordinating functions as their reason for being, and in 1976 the authority of the 1202 Commissions was extended to projects between or among states. Thus a federal influence for regional cooperation has begun to make itself felt. So far, it has not been a very overpowering influence. Compared with the federal pressure for regional cooperation in the health planning field, for example, it has been quite feeble and tentative. The authors of the report feel that the federal presence is bound to become more assertive in this area over the next few years. That sounds plausible, but meantime there is not really a great deal of federal pressure.

There is significantly greater pressure for regionalism in education coming from the states. Yet even among the states, the push so far has been mainly in lower, not higher education. Twenty-four states are giving active attention to regionalism on the elementary and secondary levels. In general, regionalism *for postsecondary education* is being practiced most in the Midwest states, least in those of the Northeast. Most of it, so far, has been within the borders of a state rather than between or among states. Finally, the concept seems to mean different things in different states and consequently takes on different forms from state to state.

The main goals that states seek in regionalism are two: improved program coordination and improved resource utilization. These aims fit reasonably well with the main aims of institutions that have initiated regionalization. According to the report, such institutions are principally concerned with cost-effectiveness, and secondarily with increased access, better communication, and improved long-range planning. These goals accord pretty much with those of interinstitutional cooperation in general.

Our report distinguishes between two kinds of regionalization, that which is undertaken primarily at the state level and that at the grass-roots or substate level, which it terms "deductive" and "inductive," respectively. The state tends to promote the concept of regionalization if somebody in the state capital, for example the governor, happens to be interested, but the implementation of the

concept really depends on the availability of funds. Legislative interest in regionalization was found strongest in the West, in contrast to the Midwest, where a mix of elements, educational and noneducational, tends to promote the process. Positive support by the state agencies responsible for planning and coordinating postsecondary education is critically important.

An especially promising educational area for regionalization so far has been vocational education, with New York and Pennsylvania among the states that have successfully promoted the concept. One reason seems to be that because vocational education is offered at both secondary and postsecondary levels it seems more natural and necessary to do some regional coordinating. Another is that federal legislation requires a single state-level board for the distribution of all vocational education money from the federal government.

What about outcomes? On the basis of the limited information available so far, our report concludes that in about one-third of the states regionalism in general is having an impact on resource allocation processes. At the operational level in postsecondary education, positive results include better communication among institutions, increased access of students to programs, and some "cost avoidance."

Other outcome aspects the report found include the fact that graduate programs show especially strong economic advantages in regionalism, that economical use of resources shows up more in interstate regionalism, and that the top achievement in regionalism programs inside a single state tends to be the improvement in communication. So far, regional collaboration between two-year and four-year institutions has not been very successful, while the less comprehensive kinds of regional activities seem to have the best record in attracting the participation of business and industry and other lay interests that can provide funding support.

In the realm of problems, the report makes this point: where regionalism is being pushed by state coordinating agencies for the stated goal of cost savings, colleges and related types of institutions tend to be suspicious. Even though their own interest is primarily economic, they perceive a "hidden agenda" of increased control by the state-level interests. In California, New York, and Pennsylvania, where a primarily economic emphasis has dominated regionalization, this phenomenon of suspicion has been observed.

The amount of resistance to regionalization on the part of the organizations generally has evidently been considerable. Most organizations, including postsecondary educational institutions, have avoided dealing with regional offices of state agencies, sometimes because of existing legal structures, as in California, and sometimes as a result simply of tradition, as in Ohio. Many regional planning agencies, being relatively new, are apparently hesitant about challenging established postsecondary groups which have political clout. The basic negative forces involved are two familiar ones: the sensitivity of institutions to threats to their autonomy, and the competition, sharper than ever, for available funds.

Thus the progress of regionalism has not been spectacular, for even though many state governmental agencies are giving active attention to regionalism, each does it on its own terms. But it seems unlikely that the growing public pressures will allow such marked degrees of "separateness" to continue.

The authors of our report feel that postsecondary institutions should make more effort to understand the need and the pressure for increased interinstitutional cooperation. They say, "In the least, institutional leadership . . . . must fully recognize the very strong fiscal concerns held by state-level interests. They should strive to develop operational methods that give attention to both the traditional values of campus autonomy and to the sometimes competing more contemporary concerns such as public accountability, cost-effectiveness, and increased productivity." They add that institutions should be encouraged by the thrust of regionalization toward increased access.

One thing appears clear. Everyone could benefit from increased dialogue on this new subject. For the facts are that various state agencies and departments *are* engaged in similar regional endeavors and at least educators could learn from them even if not involved.

Looking ahead, I think it is reasonably clear that regionalism is something that our institutions are going to have to come to terms with. I also think it is fair to say that regionalism holds the potential for considerable institutional benefits. Since the process is in its infancy, if we act with reasonable promptness we should be able to help it move in the right directions. Another plus is that the study shows that regionalism becomes more effective the longer it goes on.

Our report states the autonomy problem thus: ". . . how best to reconcile the individual identities of postsecondary educational institutions (colleges, universities, institutes of various kinds, and . . . libraries, museums, business and industry training centers, the military and government . . .) with the legitimate interests and concerns of a state and regions within or beyond the state." Robert L. Lewis, of my AGB Board of Directors, who is chairman of the board of Cuyahoga Community College and a long-time advocate of inter-institutional cooperation, has likened the problem of voluntary cooperation to the mating of two tarantulas—the desire is there, but so is the fear of getting stung or even eaten alive.

I would like to make *three observations* from the point of view of individual institutions or state governed systems: *First*, with or without state or federal participation, I believe cooperation between and among institutions will flourish only with the involvement of the governing boards. For governing boards—whether of single-campus institutions, public or private, or of multi-campus public institutions—more readily accept the concept of saving through cooperation than do their respective chief executive officers. They do not have the same vested interest in running a so-called complete institution as do their presidents, nor are they subjected to the same campus politics.

The boards of most existing consortia, for example, are made up of administrators who are loath to give up autonomy, and consequently "enrichment" programs prevail. These may be educationally beneficial, but they do not cut costs. Far too often I have seen good ideas scuttled by these boards because someone would have to give up something, while relatively expensive new projects that added to everyone's offerings were instituted. Now that money is short, many of these same presidents are pointing out how much it costs to belong to the consortia. (I happen to be a strong advocate of inter-institutional cooperation, by the way, and intend to promote the concept amongst boards as much as possible.)

A state agency that seeks working partners, therefore, is far more likely to find them in the governing boards than among administrators and faculties. I should mention as an aside that, as far as actual cost savings in existing consortia goes, we have hardly any data and are awaiting the completion of Lew Patterson's study, in which the AGB is involved. Lew will be reporting on this this after-

noon, I suspect, but just quickly it is an attempt to identify as many cooperative programs as possible that have actually cut costs.

The second point I should like to make is that the potential for regionalism seems to me to be greatest if it is pursued as a vehicle for coodination, not as a governance mechanism. Postsecondary education political realities in most states militate against the development of formal regional governance structures, especially in the absence of compelling justification for them. Therefore, I think the most likely form of future development will be voluntary interinstitutional cooperation, actively nurtured and supported by the states, and to a lesser but probably increasing extent, by the federal government.

Voluntary consortia have already served as the forerunners of regionalism, and in several states official recognition has been extended to existing interinstitutional ventures that were begun on a purely voluntary basis. Certainly voluntary consortia can be a source of valuable experience for state officials contemplating regionalism. This remains true despite the fact that our voluntary consortia have not always come up to our expectations. By the same token, we should recognize that the addition of the state ingredient may be of decisive benefit to voluntary cooperation, partly for the very reason that the state has it own—cost-saving—purpose in mind.

The third point is simply that not enough evidence exists to make a recommendation as to which approach to regionalism works best, although I think we can agree that it is a good idea.

To summarize the policy issue in broadest terms, how can the understanding of regionalism be improved and its use as an organizational principle be maximized in the best interests of all levels of concern—institutional, regional, state, and national? *The authors* of our report *suggest four ways:*

First, to cooperate on getting more and better information for decision making;

Second, to arrange for inservice training of people already in the field, and for preservice preparation of future professionals.

Third, to cooperate on improvement of the policy framework, that is, state laws and state-level policies and practices;

Fourth, to stabilize procedures for providing funding; current practices in many instances are said to require excessive reliance on sources of support that jeopardize long-range planning.

To these four ways of improving the implementation of regionalism, I would add a fifth: involve the governing boards of the institutions, be they single campus or multi-campus, public or private. They tend to be able to be more objective about interinstitutional cooperation than their administrators.

One final conjecture. I have the feeling that regionalism is going to work better than other attempts to promote cooperation simply because it tends to group logical partners together, even across state lines, thereby reducing the fears of loss of autonomy to a minimum. One is less afraid of neighbors with whom you have worked before. If this conjecture proves true, regionalism could be the catalyst for a great leap forward.

HIGHLIGHTS OF REACTOR COMMENTS

A learning process is going to take place in relation to regionalism, according to reactions to Mr. Gale's comments, with economic considerations demanding a closer examination of regional approaches to interinstitutional cooperation. There will be a greater selectivity as to who gets involved so that the right kind of leadership can be accomplished. It was felt that there will be a movement toward institutional "centers of excellence," each dealing programmatically with defined goals and problems so that institutions can count on enrollment levels, have some predictability on funding, and not have a constant battle for existence.

Two forces in American higher education were seen as being on somewhat of a "collision course"—(1) the changing demography of higher education and its impact on policy; and (2) regionalization of postsecondary educational resources. Intrastate cooperation was cited as one response to demographic problems; but it was felt that the "brakes" are going to be put on interstate cooperation because of concern on the part of many institutions about the intrusion of so-called "foreign" institutions.

Problems cited as facing postsecondary education include: the decline of students, faculty imbalance—not only in relation to disciplines but in terms of age and tenure as well, and the "overlapping" of institutions and how they can be encouraged to modify their missions. In the near future there will be little room for new scholars in emerging critical areas because of the increasing percentages of faculties that are protected by tenure or collective bargaining.

Among the needs for action in response to these problems came suggestions of increased dialogue with political leaders at all levels about these problems, moves to encourage and develop institutional support for regionalism, and requests to legislative bodies to support the notion that regionalism is one way that those programs which ought to be administered at the state level can be better administered. Yet, it was also proposed that regionalism efforts should be removed as far as possible from the state capitols and that

institutions should reassume much of the authority they have given over to the state.

Finally, a greater nationwide discussion of regionalism—what it can and ought to do—was recommended.

THE IMPORTANCE OF LEADERSHIP FOR REGIONALISM: SOME SUGGESTIONS FOR ACTION

Louis Rabineau

Director
Inservice Education Program
Education Commission of the States

It is a pleasure to be part of this important meeting to discuss and consider the implications of the report *Regionalism in American Postsecondary Education: Concepts and Practices,* by S. V. Martorana and Lawrence A. Nespoli, Center for the Study of Higher Education, The Pennsylvania State University. The authors are to be complimented on this most exhaustive study, thorough overview, and perceptive analysis of regionalism in higher education.

As one reads through the report and learns about various attempts to define and encompass regionalism and about the various networks and experiences in different states, the various taxonomies, goals, expectations, concepts of authority and legitimacy, the interactive forces, structures, designs, duties, functions, processes, finances, and compacts, one is ultimately drawn into the whirlpool of the discussion in Chapter XIV about "Leadership Strategies and Approaches of State Educational Agencies." Indeed, as one reads through the report, a unifying question emerges: What is the nature and function of leadership in making regionalism operate?

The report charges us to ". . . develop programs cooperatively to enhance understanding of regionalism by postsecondary education personnel at all levels and their use of regionalism as an organizational principle; both inservice training of persons already engaged in the field and preservice preparation of new professionals seeking to enter are indicated." To explore further these critical connections between regional *organization* and regional *leadership* is the purpose of my remarks. Present and future leadership is a crucial catalyst for the rigorous and delicate activities necessary to achieve in postsecondary education.

In these remarks I would like to focus on the following notions about the leadership role in regionalism. First, I would like

to mention some general ideas about the role of leadership. Second, I would like to explore with you various styles of leadership, some or all of which may be demanded by regionalism. In part, the qualities required of leadership in educational regionalism are somewhat similar to those required in other fields, such as the leadership required of the legislature, of the governor's staff, of the university president, or of other administrators in higher education. We will find that in addition, however, there seem to be special ingredients, albeit very complex ones, that are required for leadership for regionalism. Finally, we will consider the strategies for implementing the development of leadership as we look ahead to strengthening this role and preparing others to assume it.

Let me begin with some assumptions. First, the process through which organizations, including regional systems, develop, according to Charles Perot in "Complex Organizations: A Critical Essay" (1972), is a "never ending struggle for values that are dear to participants—security, power, survival, discretion, and autonomy—and a host of rewards." According to Kenneth Boulding in "The Organization Revolution" (1960), the fundamental political problem is one of power and its distribution, sources, and use. It is within the arena of such competing interests, *powerful* interests, that the development of regionalism comes to life.

Second, when we talk about leadership in regionalism one must be mindful of the two groupings of leaders: (1) Those who *initiate* and (2) Those who *implement*. Let me explain. In the case of initiating regionalism, there are leadership demands involving the legislative body, the governor's office, the state higher education agencies, those with foresight in the public or private institutions and their administrative agencies, as well as the board members of the various groups. Leadership in developing regionalism would require the leader both to perceive the need for it and to develop supporting arrangements among various groups. Leadership functions of the "initiators" and implementors" are fairly similar, but in those cases where there are exceptions, we will so designate.

THE ROLE OF LEADERSHIP

There are some special leadership qualities demanded by regionalsim which are different from leadership qualities demanded

in other areas of higher education and in other fields. Let me cite two or three examples. First, while evidence of regionalism in higher education goes back to the colonial period, as noted in the report, the reality is that regionalism in higher education has not been dominant in the development of American higher education as has the establishment of individual institutions of higher learning. Thus, more of a "selling job" has been required to elicit support for innovative programs, for which there is not as much tradition or experience to legitimize.

Lewis Patterson has described consortia, which grew in number from 31 in 1967 to 106 in 1975, as a "new but fairly rapidly growing phenomenon." Yet, I submit that such consortia are usually accepted only after all alternatives, especially the emotional or irrational ones, have been considered and found to be impossible. While this cycle might be typical of all rational endeavors in government and administration, there seems to be an increased resistance to merging individual postsecondary endeavors for the common good.

"Big brother" is a threat to individual autonomy. Moreover, regionalism is a vision that is difficult to achieve when offered to the conservator of a threatened preserve. Regionalism requires a view of the forest rather than the trees and many would rather look at the trees. Those who have the foresight to perceive the needs for regionalism, or those who are going to be implementing, must be people who not only can see existing forests but who can also perceive the need for developing the forests beyond their present strength. This requires special vision, courage and talent and necessitates the additional ability to articulate this vision for those who are willing to learn and to be convinced, and to describe the new forest, vividly and invitingly, for those who are resistant and protective of their own domains.

What qualities of leadership does such a task require? And how do they differ from those of a typical college president? In a recent advertisement in the *Chronicle of Higher Education* (May 22, 1978), there were two adjoining advertisements, one for the presidency of a 100-year-old liberal arts college with an enrollment of about 1,000, and next to it, an advertisement for an executive director of a regional program in higher education. Let me quote exactly from the advertisements. First for the college president: "Candidates should possess academic and experience qualifications to ensure the

excellent conditions of enrollment, faculty, and finance." For the executive director of a regional activity the requirements were: "The executive director is responsible for the planning, budgeting, and operation of the campus facilities. . . . A minimum of 3 years extensive high level management experience in administering diverse programs and personnel, with extensive expertise in resource allocation, planning, budgeting is necessary; *along with demonstrated effectiveness in dealing with government agencies and the various components of higher education institutions*."

Please note that in the case of the college presidency, in this case at least, the candidate was expected to ensure the continuation of conditions of enrollment, faculty, finances. Note that for the regional administrator, his activities included not only regional responsibilities but also high-level management experience, effective espertise in resource allocation, planning, and budgeting as well as sophisticated governmental and inter-institutional expertise. I do not mean to imply that all regional activities are alike any more than all presidencies are alike, but I do want to emphasize the breadth of activities required in regional positions. The first is an advertisement for an important position. The second is clearly an advertisement for superman!

WHAT STYLES OF LEADERSHIP ARE MOST EFFECTIVE?

In the report prepared by Martorana and Nespoli, there is a very fine chapter on the several contexts of regionalism, especially with regard to the notion of organizational flexibility and to alternative theories of organization as they have developed in practice. Three strategies are suggested in this report as operating possibilities: (1) the "authoritative/coercive" strategy or the "stick"; (2) the "incentive funding" strategy or "the carrot"; and (3) the pragmatic/opportunistic" strategy or the "politics of postsecondary education"—the third being a combination of the first and the second. The report also suggests that in the third approach, which is the most typical, the state agency assumes a leadership posture and moves with decisive authority when circumstances seem to merit that kind of action, and at other times it offers incentives and proceeds in a less aggressive fashion, if *that* approach will help the agency achieve its ultimate goals and purposes.

The wisdom in this political model is in its flexibility of timing. The leader needs to exercise good judgment as when to hit hard and when to use more positive incentives in order to move toward his goals. How to implement the goals and strategies and what qualities of leadership are needed in order to accomplish the best regional activities are difficult questions to answer and yet they must be addressed.

Harry Levinson, in his noteworthy book *The Exceptional Executive,* describes from still another source various styles that leadership may assume. A leader, he claims must operate by consent; however, he must continue to *earn* his position. If he does not, he will lose it. Displacement of political leadership is the most conspicuous example of this dynamic. We all experience this temporal characteristic of leadership-by-consent whenever one of our constituents asks us, "What have you done for me—today?"

Without voluntary consent, says Levinson, the leader can remain in position only if he can coerce consent by rigid control of his organization. However, even in business today, that "is less possible." If that is the case in business, that rigid control can be used less now than in earlier days, how much more true it must be in the case of educational regionalism when myriad groups are brought together, each with their own authority and their own versions of what it takes to work toward the common good.

Where does that leave the "leader"? In an interesting chapter on the executive as educator, Levinson talks about different types of teacher-leaders. Think this through with me and see how closely his descriptions fit in with your own experiences. The first type is the "shaman." The shaman heals through the use of personal power, says Levinson. He focuses his audience on himself, and when his skills are combined with unusual gifts, he becomes charismatic. He has power, energy, and commitment, all of which organize people around him. Perhaps Churchill is the recent outstanding political example of such a leader.

The second type of leader is the "priest," who claims power through his office. He is an agency of omnipotent authority and those who organize around him differentiate themselves from others. A priestly structure is characterized by continuity; it has a past and a program for the immediate and distant future. It has a hierarchy with roles and places in the hierarchical ladder. In some areas the

unusually strong authority of state government, or educational officials, reflects this pattern, but it is not a common one.

The third type is the "elected leader," one who endures trials of self-transformation, training, or some other form of right to achieve his position.

The "missionary" is the fourth type of leader. Usually mission involves a utopian view of the future and a program for achieving reforms. Even most business organizations have some kind of mission, however self-serving.

The fifth kind of leader is the "mystic healer," an altruist and creator who seeks to find the sources of illness in the "patient's" personality, or to discover the statue in the marble, a michelangelo kind of leader who discerns what could be created from raw material. This style of leadership requires not only acumen but also self-subordination to the task at hand, and considerable sensitivity and flexibility in varying one's strategy according to the phase of operation or according to the person or raw materials one is dealing with.

As anyone contemplates what type of leadership role to assume in the development of regionalism, these categories may help one to see what best fits his own personality and style. I think you would agree, however, that, in order to be effective on the line, the leader would have to be part priest, shaman, missionary, elected leader, and some mystic healer or creator.

Having considered some of the types and styles of leadership that one encounteres and one exercises, what are some of the special ingredients in educational leadership that will be necessary if we are to accomplish the important mission of achieving regionalism? First, there are at least three areas of knowledge, theoretical or practical, that are required: first, certainly a knowledge of higher education. There is a growing concern that, with a build up of bureaucracy, the understanding of and sensitivity to the demands of higher education are disappearing in favor of mere managerial skills. This is a valid concern and one that we must be very sensitive to. Second, a knowledge of government is imperative. If we are going to develop understanding, facility, and leadership in bringing together various government units, we must have a better understanding of the nature and activities of government. Third, a knowledge of human relations is needed. Going back to the theories of organization of Mayo and Roethlisberger, there is increasing emphasis on the

importance of human relations as a basis for the successful operation of government and business activities. Thus a knowledge of higher education, of government, and of human relations are the three important general ingredients in successful educational leadership.

In regional leadership, what *further* qualities are necessary? Let me mention three of them. First is a flexibility of character. If, as the conference study suggests, flexibility is a hallmark of the regionalization activity, how much more so is it imperative that the leader have the ability to be flexible. If an argument for regionalism is that it is a mechanism which can respond *quickly* to the needs and demands of a particular area, region, or time, or all of them, the leader must have flexibility in order to be able to move quickly and respond appropriately.

The second quality is a facility for negotiation. In dealing with discordant voices, including the voices of special interest groups and regional institutional constituents, it is especially clear that the ability to orchestrate divergent voices becomes increasingly important.

The third quality is vision, the ability to look to the future. Important in almost all areas, it is especially important in regionalism, because here it is imperative to anticipate what the new demands and areas of concern are going to be, not only for mounting new programs but also for implementing current programs, as well, and providing meaningful continuity between past, present, and future.

STRATEGIES FOR IMPLEMENTING THE DEVELOPMENT OF LEADERSHIP

We have shared some ideas on the character and style of leadership needed in the design and implementation of regionalism and about the types of demands that will be made on regional leaders. What strategies then can we design to enhance and to guarantee the professional development of such leadership? And what means do we have for infusing the leadership activity with the complex data necessary to inform its complex responsibilities?

The educational programs that are necessary to assure the strong professional development of leadership for regionalization must take many forms. Let me say first that the understanding of

regionalism per se is too dynamic, too fast moving, and too complex to be learned through one, two, or five books. While it is basic to have the kind of analysis made by students and analysts of the field, as has been done at Penn State University, there will be a need for an additional array of resources.

At the outset we talked about two targets for leadership development, the *initiators* of regional programs and those who are responsible for *administering*, and we said there would be some difference between the needs of the two. We also indicated that it is especially imperative for both groups to have a firm, solid background in government, certainly in higher education and in human relations, academic as well as practical.

Beyond that, however, how can we continue to educate ourselves? Let me move from the most obvious and most mundane to the more subtle strategies. First, there is no substitute for word of mouth in a fast-moving business where there is nothing quicker than either picking up the phone and learning what is happening at other places or in attending meetings, such as this one. Second, the university, itself, is an excellent base for the development of special programs within the context of general higher education programs or administration or government-political science programs. Third, it would seem that universities could develop institutes, not full departments, but special institutes that would weave in and out of particular timely topics in regional administration as well as addressing the more continuous problems. Fourth, it would seem that special institute programs could be developed by nonuniversity agencies, such as those which the Education Commission of the States (ECS) has developed in concert with the state higher education executive officers (SHEEO) and political leaders. Indeed, the state higher education executive officers have been the strongest forerunners and proponents of the kind of cooperative activities that embody regionalism. One might argue that the majority of activities of statewide boards of higher education existing today are, in a sense, regional activities.

If you analyze carefully the kinds of work that one does on the statewide level, they are not too different from those at the regional level. In the last four years ECS has been operating inservice education programs to assist state higher education leaders, legislators, board members, and members of campus communities who

address topics of statewide and regional concern. Dr. Martorana serves on this particular board as do others in the audience.

A side point: the last people in the group who want to call "inservice education" by that name are educators and politicians. I do not think we have had one planning board meeting where someone has not mentioned that we should call the program something else. When our planning board discovered that politicians and educators are more willing to take part in advanced leadership programs rather than be involved in "inservice education," the inservice education program at ECS was restructured into an expanded program, whose new name will be the Advanced Leadership Program or ALP.

A significant strategy for preservice education for leadership is the growing number of internships in existing regional programs. These would afford an excellent opportunity for learning "on site." Indeed, they could be part of a series of internships that are developed on the statewide coordinating board level for individuals to work out of a variety of offices whose work includes, but is not restricted to, regional activities.

In the development of our education strategies, as well as in the development of our regional programs themselves, there is much that could be learned and worked through with other government-related groups, many of them interested in and very often more experienced with regional activities than the educators are. Some examples of these are the National Council for State Legislatures, the National Governors' Association, the national organizations concerned with regional work in the fields of health, economic development, urban and community development, the Council of State Governments, and the Council of State Planning Agencies, to say nothing of the state and regional constituencies that are included in their memberships.

At ECS we have been working with a number of these organizations, as we develop programs for the SHEEO members and their staffs, legislators, and board members. With the experiences in developing "special programs for special audiences," universities and national organizations have a productive precedent for developing similar programs that can be most useful in regional efforts.

Regionalism for higher education is on the increase, as the conference report has indicated. It certainly is a modus operandi at

present and will be even more so accepted in the future. If that is important, then central to the development of this activity is the development of ideas about the special leadership role which regionalism requires.

But after all is said and done, what kind of leadership are we seeking? After considering some concepts of organization, decision making, leadership, and style developed in this century by Chester Barnard, Mayo and Roethlisberger, Harry Levinson, and others, and with all due respect for their thoughtful contributions, let me share with you some intriguing ideas about leadership taken from an ancient Chinese philosopher Lao-Tze. His idea of the "best ruler" (read:leader) is this: A leader is best when people rarely know that he exists, not so good when people obey and praise him, worst when they despise and fear him. When he does not command the people's faith, they will lose faith in him. But of the best, when his task is accomplished, his work done, his aim fulfilled, the people will all say, "We have done it ourselves."

The times are increasingly complex and demanding; the leadership role is increasingly complex and demanding. We must therefore continue to educate ourselves so that, as our tasks are accomplished, our vast and varied regional constituents can say, "We have done it ourselves." The continued pursuit of meaningful and effective qualities, style, and strategies for leadership in regionalism for higher education may well become a key if not *the* key for achieving significant progress in higher education.

CURRENT AND FUTURE STATUS OF CONSORTIA

Lewis D. Patterson

Executive Director
Council for Interinstitutional Leadership

Prior to commenting on the state of the art of consorting, please permit me to address terminology briefly for the purpose of clarifying communications.

In working with cooperative arrangements over the past eleven years, I have received numerous requests for *the* definition of "consortia." Even more frequently a definition has been attributed to me by doctoral students, researchers, and other writers based on the five criteria that I have used since 1967 for listing organizations in the *Consortium Directory*. Let me repeat for the 100th time that I have never considered the five criteria as being sacred or that the listing for that particular publication exhausted the universe of consortia. I not only have difficulty in making fine distinctions among varying types of interinstitutional arrangements, but I increasingly question if the differences are as important as we try to make them out to be. For example, when I look at multi-institutional organizations ranging from informal bilateral arrangements, to a full blown consortia, to statewide commissions and coordinating boards, to interstate compacts, to national associations, I see more commonalities than differences. Each type of organization is important if it serves a useful purpose, and we should work collectively making the different structures complimentary rather than duplicative and competitive.

It may be helpful to stay with terminology for a moment longer to focus on "regionalism" as defined by Martorana and Nespoli. They used the criterion of "state recognition" to distinguish between regionalism and other types of interinstitutional arrangements. I understand their need to do that for purposes of the study, but it also should be understood, for the record, that their inclusion of a cooperative group under regionalism because of state recognition does not automatically exclude that group from continuing to be a consortium in fact. To further make the point, more than two-thirds

of the 115 consortia listed in the *1977-78 Consortium Directory* operate under state charters, but that or any other form of state recognition does not "deconsortiumize" them or alter their voluntary nature.

The Quad-Cities Graduate Study Center, for example, receives state monies from the Illinois Board of Higher Education and from the Iowa Board of Regents. I suspect, nevertheless, everyone would agree that the center is a bonafide, voluntary consortium in every sense of the word.

A concluding comment on terminology—Martorana and Nespoli should not be surprised if some consortium directors in the field should question their inference in Chapter I of the report that consortia which are not state recognized typically are ad hoc arrangements, which also suggests that state recognition offers permanence. I suspect those were not intended conclusions of the authors.

On balance, I would like to commend Martorana and Nespoli for making a needed and important contribution to the literature and research on regionalism. I also appreciate their recognition of some differences between voluntary consortia and mandated systems. The findings of the authors will be useful to consortium personnel in their future planning.

Now let me share with you my outlook for consortia. It has been my firm conviction for more than a decade that voluntary cooperation would be—and still will be—a move of the future. I have never viewed the consortium movement as an isolated phenomenon. It is one aspect of an inevitable, society-wide trend to ever increasing levels of interdependence for all people, for all institutions, indeed for all countries. "Consortia" and "regionalism" are largely phenomena of the United States in 1978. In another ten years these types of linkages, of interreliances, will have transcended many international political boundaries and oceans. That does not mean that we have learned to work together voluntarily very well thus far, but that we also know that autocratic systems do not work very well either. The frontier is still ahead for all of us.

In the past ten years the number of general purpose consortia has more than tripled. There has been some slowdown in the formation of new groups in the last two years, but the total number continues to inch upward. My prognosis is that the major growth area for new arrangements over the next five years will be in the

West. It will be interesting to see what the far-ranging impact of California's Proposition 13 will have on interlinking institutions and systems of institutions.

What are consortia doing these days? I cannot give you a comprehensive report, but I will mention three or four areas. At last count some twenty-five consortia administer joint insurance programs. Approximately thirty-five consortia are administering formal faculty development programs this year. More than seventy consortia have established cross-registration agreements. Almost all general purpose consortia are working on library cooperation. And, now, in the immediate years ahead, it is timely for consortia to concentrate their energies in taking advantage of cost-saving opportunities while expanding educational opportunities. My organization, the Council for Interinstitutional Leadership, currently is conducting a two-year project funded by the Carnegie Corporation on cost-savings and effectiveness through cooperation. We now are processing some hard data on exemplary programs and are preparing to disseminate that information to others.

During this conference at least one speaker has indicated that consortia or regionalism will not work on a voluntary basis. I find that conclusion unacceptable. It would be a sad commentary on democracy if we were to conclude that the only way for institutions of higher intellect to cooperate is through statutorily imposed coordination.

This is not the place to elaborate on procedures to make voluntary cooperation work, but let me give you an abbreviated formula: (1) make some dollars available on a voluntary competitive basis at the state level for consortia such as the Quad-Cities Graduate Study Center; (2) establish ground rules for participation that require more than token contribution from the participating institutions; (3) evolve governance structures that include trustees of institutions, community leaders, and minority representation. These procedures will lead to more permanent forms of cooperation.

In closing let me leave you with the thought that voluntary consortia and regionalism and state systems and compacts and national associations all will play important roles in shaping the destiny of our interdependence. The most serious challenge we face, in my judgement, is to make our systems humane, to make them responsive to the consumer at the community level, to cultivate a

new sense of community spirit, to allow for diversity, to help preserve private education as an option, and to help preserve our special types of institutions such as single sex and black institutions, while simultaneously developing complimentary systems of interreliance. We really have no choice and that is why consortia eventually will take their rightful place in the educational community.

REGIONALISM AND EDUCATIONAL BROKERING SERVICES FOR ADULTS

Francis U. Macy

Director
National Center for Educational Brokering

Education officials of state governments are being prompted by the federal government and their own state authorities to make moves on two fronts. My comments this afternoon will be on how such officials might make these two moves compatible and self-reinforcing.

The two new emphases in education under discussion here are: (1) regionalism and (2) educational information and conseling services. The thrust toward regionalism in statewide postsecondary educational planning has been reported effectively in the study by Martorana and Nespoli at The Pennsylvania State University. Concerning educational information and counseling services, the federal Educational Information Centers (EIC) program puts participating states for the first time in the business of coordinating, supporting, and establishing such services. The program received an initial federal appropriation in 1978, based on new authorizations in Sections 418A and B of Title IV of the Education Amendments of 1976. Fortunately, state authorities undertaking to coordinate and support educational information and counseling services have had more resources available to them than those provided by the federal government under the EIC program. The appropriation for the program was $2 million in fiscal year 1978 (to be divided by formula among the states) and $3 million in fiscal year 1979.

The other resources available to the states include information and counseling services traditionally offered on campuses and services such as those offered to people out of school and college by community agencies and interinstitutional arrangements that have emerged in the 1970s. Because these latter services facilitate connections between learners and the educational institutions with impartial information and advisement, they have come to be referred to as educational brokering services. They will be described in the first

section of this paper. Another resource available to the states is a range of federal programs that authorize federal expenditures for programs of information and counseling for people of all ages. These will be described in the second section. The third section of this presentation is devoted to an examination of some of the advantages and disadvantages of regional educational structures sponsoring educational brokering services. There are precedents for this from which we can learn some useful lessons as states move toward more regionalized forms of educational planning and toward the support and coordination of educational counseling services for all residents.

STATUS OF EDUCATIONAL BROKERING SERVICES

The term educational brokering has come to refer to a comprehensive set of information and counseling services offered off campus in a nautral setting. The concepts of comprehensiveness and neutrality or impartiality are key ones.

The services are comprehensive in the sense that they offer information on educational offerings not at just one institution but at all the educational institutions and other agencies and even businesses in the area. To serve adults well the information bank must include not only educational information but occupational information as well. In addition to information, the comprehensive services include counseling, educational/occupational assessment, referrals to educational and service agencies, and advocacy on behalf of the client who is interested in resuming organized study. The advocacy function is sometimes critical for a nontraditional learner who is unfamiliar with educational institutions and fits poorly into the regulations and procedures that are designed essentially for full-time, residential students in their teens.

The concept of neutrality or impartiality means that the services are not designed to recruit students for any single institution or to serve students already enrolled in an institution. Counseling services on many campuses are designed to explain to students already enrolled how they can earn the degrees offered in those institutions. The information services of most colleges are limited to information about those colleges for people who are applying or inquiring and that information is usually designed to attract students

to a given institution. The educational broker, however, has no vested interest in the decisions made by his clients in choosing an educational institution or in deciding not to pursue further studies.

The need for educational brokering services has been amply documented by the clientele of existing services and by a number of surveys of adults. Some thirty states have conducted regional and statewide surveys to determine adult learning needs. One of the major conclusions of these data is that adults need better sources of information and counseling in order to make educational and career decisions. These surveys have been analyzed and summarized by K. Patricia Cross in the study prepared by the Educational Testing Service entitled *Source Book on Lifelong Learning.*

There are some two hundred programs with over three hundred outreach centers offering educational brokering services, according to a study conducted in 1977 by the National Center for Educational Brokering.[1] The largest number of these programs, forty-four, are offered by independent community agencies. This includes agencies that have been created specifically for the provision of educational information and counseling for adults, such as the Regional Learning Service in Syracuse, N.Y., and the Women's Inner City Educational Resources Service (WINNERS) in Boston. In other cases, independent agencies such as the YWCAs in Boston and Stamford, Connecticut, have established brokering services as a part of their program.

Another important setting for educational brokering services are libraries. At least forty-two library systems have trained their own personnel or have hired new personnel to offer educational information and counseling. Some of these, such as the Free Library of Philadelphia, use branch libraries of their system as outreach centers where counseling is offered. Others, such as the community-based adult counseling program of the University of Wisconsin, use local libraries as settings where their trained advisers can go and meet the public.

An important third setting for educational brokering services is the college consortium. There are at least thirty-one interinstitutional arrangements that sponsor and conduct educational counseling

[1] Directory of Educational and Occupational Information Services for Adults, (Washington, D.C.: National Center for Educational Brokering, 1978).

services. In two states, illinois and Minnesota, the services are supported by state appropriations as part of an effort to encourage regionalism. Consortia, such as the Quad-Cities Graduate Studies Center in Illinois and the Iron Range Postsecondary Education Center in Minnesota, arrange for institutions outside their region to send in instructors to meet the running needs of the population as determined by the counseling services. In other states, such as Ohio and Massachusetts, established college consortia (the Dayton and Worcester college consortia, respectively) have received grants from United States Office of Education (USOE) to operate Educational Opportunity Centers. The Raleigh Association of Colleges in South Carolina received a grant from the Fund for the Improvement of Postsecondary Education (FIPSE) to operate a brokering service in sponsorship with the regional library system in which it was located.

The Martorana-Nespoli study emphasizes those regional organizations that have official state recognition. There are a few cases where such organizations are conducting educational brokering programs. One of the most highly developed of these is sponsored by the Long Island Regional Advisory Council on Higher Education, which is recognized by the Regents of the State of New York as a planning body. In conjunction with the Nassau and Suffolk County Library Systems and County Women's Services, this council offers educational counseling by trained personnel in eleven library branches throughout the two counties. The costs of training and salaries are shared by the library systems, the county governments, and the state education department,which has provided grants under Title I of the Community Services and Continuing Education Program of the federal Higher Education Amendments. The Long Island program could be a model for regional sponsorship of educational brokering.

FEDERAL SUPPORT FOR REGIONAL SPONSORSHIP OF EDUCATIONAL BROKERING SERVICES

The new Educational Information Centers (EIC) program of U.S.O.E. provides states with an opportunity and some seed money to plan and establish on a regional basis a network of centers to provide "information, counseling, and referral . . . to all residents of the state . . . within a reasonable distance of all residents." The $2

million appropriation in FY 1978 will provide only $40,000 to $50,000 to each state offering an approved plan to USOE. Given the authorization of $40 million in the Education Amendments of 1976, that appropriation will be increased by 40 percent in FY 1979 and could go higher, if there is sufficient state interest and response to the program. It is unlikely that the appropriations would near that authorization level, but an appropriation of even $10 million would provide $50,000 to every state as a base support level plus an amount above that in proportion to each state's population. This means there would be some $200,000 to $250,000 available to the larger states. This is a sufficient sum to enable the states to have a full-time EIC coordinator and to offer regional information services through a number of supporting mechanisms. One of the most important might well be computerized educational and occupational information, which is costly and difficult to develop for a single regional center.

The Deparrment of Labor has made grants to eight states to establish occupational information systems that are computerized data bases, including not only regionalized occupational information but also regionalized educational information. Four or five other states have used Title I, HEA, or state discretionary funds under the Comprehensive Employment and Training Act to develop such systems as well. This is a major resource for regionalized state-supported educational information and counseling services.

Some states, such as Pennsylvania and Rhode Island, have been using funds from federal vocational education grants to support educational counseling services. Fifteen percent of the grants made to each state are to be used for postsecondary education. It is usually from these funds that such grants are made.

The new Youth Employment and Developmental Projects Act (YEDPA) authorizes the expenditure of federal funds by both state and prime sponsors at the county and city level for vocational and training counseling as well as instructional services. These funds could strengthen state efforts to support educational information and counseling at the regional level.

The College Board and the National Center for Educational Brokering conducted a study which identified twenty-eight federal programs authorizing the use of federal appropriations for educational or occupational information and counseling. In addition to the programs mentioned in the preceding paragraphs, this study

identifies other programs in the Department of Health, Education, and Welfare and the Veterans Administration that states have been able to use to support such services.

ISSUES IN PLANNING REGIONALIZED EDUCATIONAL BROKERING SERVICES

Experience in the 1970s has given us some lessons on the advantages and disadvantages of sponsoring educational information and counseling services by regional organizations for postsecondary educational planning. The record is a mixed one. More study is appropriate before the federal or state governments adopt a policy including educational information and counseling as part of regional services. Several observations can be made.

First, most regional organizations in postsecondary education are limited to degree-granting higher education institutions. Other institutions offering educational experiences should be included in the information bank of a brokering service and, therefore, also in the sponsorship of such a service. Libraries, cultural institutions, and school systems offer important learning opportunities to adults in every community. Experience shows that it is difficult to incorporate representatives of these kinds of institutions into existing higher education governance structures, regional or otherwise. It would be possible, however, to create a subcommittee or advisory council under a regional council that would have the specific role of overseeing an educational brokering service and have a broader membership than the parent organization.

Second, a regional council of higher educational institutions, what Martorana and Nespoli call a "regional guiding mechanism," is usually not geared to providing governance to an operating agency. The membership is usually at the president, vice-president, or dean level. Meetings are infrequent. Decision-making mechanisms are often poorly defined. This could be an extremely cumbersome mechanism for providing governance to an educational brokering service for a region. It would probably be best to create a sub-group or executive committee that would be the decision-making or policy-making body for the brokering service.

Third, in some states private institutions have been concerned about loss of autonomy when regional organizations assume

administrative or planning functions. One could reasonably expect that private institutions with highly active adult education programs might feel that their recruitment would be threatened by a highly publicized, regionally sponsored educational brokering service that would refer adult learners to all of the educational institutions in the region and thereby reduce their competitive position. Careful consideration, therefore, would be needed to respect and overcome the hesitancies and anxieties of the independent sector in higher education if regional organizations are to sponsor educational brokering services.

Fourth, some regional councils and consortia do not include all the higher educational institutions in a given geographic region. Members can feel resentful if students are referred by a brokering service to nonmember institutions. This occurred in Alabama where the Open Learning Service was sponsored by a consortium of colleges but included the educational offerings of other colleges in its referral and information bank, in addition to the programs of consortium members.

Fifth, the linkages among educational institutions created by regional planning councils can be very valuable to an educational brokering service. Access to responsible people at all levels on every campus in a region is vital to effective brokering. The connection with a regional council would provide such contact points.

Sixth, the financing of educational brokering services remains a problem even though the value of these services has been well demonstrated in the 1970s. The sponsorship of brokering by regional postsecondary education councils, with state encouragement, could provide a channel for cooperative funding by those institutions. It is appropriate that the cost of such services be borne in part by those institutions as well as by those individuals who benefit from them. The evidence is strong that brokering services have the impact of increasing adult student enrollment in educational institutions within the area that the services are offered. Sponsorship by regional councils could improve the financial base of educational brokering services.

To summarize, then, it can be said that experience proves the feasibility of including educational brokering services as one of the functions of regional postsecondary education councils. These

services can enhance the value and credibility of such councils. Such sponsorship can strengthen the brokering services themselves. On the other hand, there are a number of disadvantages in providing governance and even general sponsorship of educational brokering services by regional postsecondary educational arrangements that are limited in membership. These disadvantages could be overcome by careful planning from the outset to take into account the realities—political, financial, and structural—of regional cooperation among educational institutions.

POSTSECONDARY EDUCATION PLANNING COMMISSIONS: A FEDERAL ROLE

James F. Rogers

Education Program Officer
State Planning Commissions Program
United States Office of Education

I think the key to the 1202 Postsecondary Education Planning Commissions and to the entire program authorized by Sections 1202 and 1203 of the 1972 Higher Education Act is the emphasis on the word "comprehensive," a term that is repeated in that legislation several times. The legislation itself is rather brief. Nevertheless, it deserves some attention since any discussion of the 1202 Commissions, within the context of this conference, should take into account the legislation which authorized the support of these Commissions.

Under the Section 1202 provision, it is indicated that a state commission must be "broadly and equitably representative of the general public and *public* and *private* nonprofit and *proprietary institutions of postsecondary education* in the state." Furthermore, Section 1203, which bears the official heading of "Comprehensive Statewide Planning," authorizes grants to a state commission:

> to enable it to expand the scope of the studies and planning . . . through comprehensive inventories of, and studies with respect to, *all public and private* postsecondary educational resources in the state, including planning necessary for such resources to be better coordinated, improved, expanded or altered so that all persons within the state who desire and who can benefit from postsecondary education may have an opportunity to do so.

The end result or the intent of this legislation is perhaps best revealed in this final statement from Section 1203 specifying that all persons who desire and who can benefit from postsecondary

education should be given that opportunity. The emphasis here is clearly on "access." Within the Office of Education, we have been keenly aware of this concern with expanding educational opportunities nationwide, and our changing role has reflected these new priorities. More specifically, federal support for postsecondary education has shifted from an almost exclusive emphasis on institutional support to the current situation in which at least 90 percent of the funds available to postsecondary education from the Office of Education goes to students in various student programs. These programs have been funded generously in the past and appear to headed for even more generous support in the next session of Congress.

There is a problem inherent in the 1202 Commissions and Comprehensive Statewide Planning Program in the sense that the authorizing legislation is the first instance in which there has been federal recognition, support, and encouragement for the states to view all of postsecondary education as being of one piece. The legislation is truly comprehensive in concept and holistic in its view of postsecondary educational opportunity within each state. By establishing the parameters of all existing postsecondary education, regardless of the source of support for each segment, there is an adequate information base for decision making in planning for expanded educational opportunities. The inventories of postsecondary education institutions and programs, which have been the most common planning activities of 1202 Commissions, have revealed a number and a variety of educational opportunities in each state which were often surprising even to those most knowledgeable about the situation.

Many of you who are associated with the 1202 Commissions realize that this up-dating of the information in the inventories has now become an annual undertaking. It is interesting to note, too, that most of you have encouraged a wide distribution of this information to high school guidance personnel around the states, which tends to make it a rather functional kind of program and also establishes a relationship between the 1202 Commissions and the "education information centers" which were authorized and funded as program quite separately from the 1202 legislation.

In recognizing the need for a comprehensive approach to postsecondary education in its [illegible]ity, there has been a recognition on the part of the federal government, and those who supported the

1202 legislation, that the states have typically had rather incomplete information in terms of the data base required for a management information system adequate to a comprehensive planning process. Therefore, there has been the enactment of this legislation, with some subsidy and encouragement for the states, so that all segments of postsecondary education—the public sector as well as the private and proprietary institutions—are included in state-level planning processes.

It is no doubt a telling comment that after the federal government recognized the extent of this monumental problem, it undertook to "solve" the situation with a $3 million appropriation, divided among fifty-four jurisdictions. I heard a top administrator in Washington say a number of years ago: "I have inherited a twenty-year problem with a one-year "solution" with 10 percent of the money I need." I suspect that you who are working with 1202 Commissions are keenly aware that that is about the size of the situation.

I would like now to comment specifically on two items or two parts of the regionalism concept touched on in the work of the 1202 Commissions. First, it can be mentioned that several states have undertaken systematic planning on a regional basis *within the state.* Among these are Iowa, Kentucky, Ohio, West Virginia, and others. We, within the Office of Education, have watched these developments with considerable interest.

In Iowa, the state has been divided into five regions, with the postsecondary institutions in each of the regions invited to participate in a regional planning effort. This is the second year of this operation, and although we have not yet been completely apprised of the results, the preliminary information is that the program has been well received within each region of the state. Institutions in each region are providing considerable manpower and support quite apart and over and beyond the monies provided through the 1202 legislation. Kentucky has also utilized a regional approach in its planning efforts. Fifteen regions have been established throughout the state, and data is collected within this framework. I might add that the primary thrust of these efforts has been on increasing educational opportunity below the baccalaureate level. In Ohio, there was an attempt also to plan and develop two-year postsecondary educational programs on a regional basis. A similar effort was carried out

in West Virginia. We do have additional information on all of these developments if you have some further interest in any of them.

These are just some brief illustrations of intrastate regional planning efforts. The need for proceeding on a regional basis is a very real one if the end result and major focus of comprehensive statewide planning is the individual student. Individual educational opportunity is the intended result of statewide planning. However, access for many individuals is not "statewide"; rather, it is quite local and may be realistically limited by the availability of daily transportation to and from the institution. The kinds of regional planning efforts noted above have taken this into consideration, particularly for programs at less than the doctorate level.

My final note c ncerns the interstate aspects of comprehensive planning. Perhaps to the surprise of some of you, my remarks here will not be in relation to the unfunded section of our legislation specifically for interstate activities. Instead, I want to mention a dimension of the 1202-1203 legislation, *as funded now*, which would permit activities that have not yet been demonstrated by any of the Commissions—that is, the opportunity of cooperative, regional planning between and among states by the use of 1202-1203 funds supported by that legislation, quite apart from the funding of the "interstate portion" of the legislation.

I see no reason why several states who wish to cooperatively explore common areas of interest could not contribute their fair-share of the cost of the effort within the present provisions of existing legislation and to the extent that money is avilable to them. We do not yet have any knowledge of significant efforts in this direction. I would suggest further that it might even be more appropriate if additional funds for these purposes are made available to 1202 Commissions *through the present mechanism* rather than through the interstate planning section of the legislation. This approach might provide more flexibility to the states in that if increased funds are made available under the existing program, these monies could be used both for the ongoing in-state programs and cooperative programs with other states on a multi-state regional basis.

EXPANDING REGIONAL COOPERATION IN GRADUATE AND PROFESSIONAL EDUCATION

Richard W. Jonsen

Senior Staff Associate
Western Interstate Commission for Higher Education

This conference has been scheduled during a week that profoundly illustrates both the fiscal and demographic realities Fred Hechinger spoke about. The high school classes graduating this week represent the largest in history; beginning next year their size will decrease almost every year for the next decade. And on Tuesday, the voters of California gave new and perhaps bizarre meaning to the phrase, "if you don't make tough decisions, someone else will make them for you."

You are all familiar with the regional interstate compacts, but I'd like to review some specifics.

The Western Interstate Commission for Higher Education (WICHE) is an organization formed by a compact entered into by the thirteen western states "to provide acceptable and efficient educational facilities to meet the needs of the western region." The *Compact's* introductory statement noted that:

> . . . many of the western states individually do not have sufficient numbers of potential students to warrant the establishment and maintenance within their borders of adequate facilities in all of the essential fields of technical, professional, and graduate training, nor do all the states have the financial ability to furnish within their borders institutions capable of providing acceptable standards of training in all of the fields mentioned above.

and that

> . . . it is believed that the western states, or groups of such states within the Region, cooperatively can

> provide acceptable and efficient educational facilities to meet the needs of the Region and of the students thereof . . .

WICHE was established at a time when states saw a need to meet the challenges of growth while accomplishing efficiencies, especially in the development of high cost facilities. In the late seventies that context has changed so that the challenge now is not only to meet new needs in a context of relatively stable resources, but also to review existing resource use to see if cooperation and coordinated planning can effect savings. The WICHE Project on Expanding Regional Cooperation in Graduate and Professional Education, which we are currently involved in, has as its purpose to achieve the following goals: to enable states to provide higher quality and more effective graduate and professional programs by making it easier for them to identify resources which can be shared on an interstate basis and to develop the mechanisms that will facilitate that sharing.

Cooperation and coordinated planning are not mainstream activities in American higher education. Institutional autonomy and the "open market" principles under which higher education is conducted make such coordinated planning extremely difficult. Fred Hechinger and others noted that yesterday. The *real* question is not autonomy, but the appropriate *balance* between autonomous institutional action and regulation or cooperation. In addition to general systematic inhibitions, there are specific barriers to regional perspective and coordinated planning: absence of regional information; absence of systematic and ongoing links among institutions, especially across state lines; absence of links among state agencies on a continuing basis; and financial barriers to free student flow.

Facilitation of a regional perspective in graduate and professional education seems to require working at all these barriers simultaneously: (1) trying to develop regional information with respect to graduate and professional education needs, existing resources, and program development activity; (2) establishing networks of state agency and institutional leadership which can provide for regular communication among decision makers across a larger geographic area than is typically the case; and (3) working to reduce the financial barriers which make it difficult for students to move across the state lines, especially at the graduate and professional level.

These are in effect the activities of the Project on Expanding Regional Cooperation in Graduate and Professional Education. First, we are attempting to increase the flow of regional information. We are developing an inventory of doctoral programs in the thirteen western states that will provide some basic information about each doctoral program to enable planners at the state and institutional level to consider, in their own program development, the resources available in neighboring states or institutions. We have also established a system of a regular exchange of information among the states with respect to program approval and review so that the states are aware of what other states in the WICHE region are doing in terms of approving new programs and consolidating or eliminating existing ones.

We hope to be alerted to new program consideration in the very early stages, before formal submission to state agencies. We will attempt to develop information on manpower needs and resources in specific areas at the graduate and professional level, particularly those in which there appears to be emerging manpower needs that are not being met adequately at the present time, or in which there appear to be serious disjunctions between the supply of graduates, and existing or anticipated manpower needs. We hope within the limitations of the resources available to us to become a clearinghouse for other kinds of useful statistical and analytical information about graduate and professional education.

Second, we are developing the project in such a way that it can establish some important and regular communication links among postsecondary decision makers in the western states. The project advisory structure does this to a great extent. We have two advisory groups: an Advisory Council, including one member from each of the thirteen states, and a Demonstration States Coordinating Committee, which has two people from each of the six demonstration states—Alaska, Idaho, Montana, New Mexico, Oregon, and Washington.

Since the people on these advisory committees include heads of coordinating and governing boards, state coordinating and governing boards, institutions, governors and legislative staffs, legislators, as well as institutional administrators, faculty, and students, we feel that this network objective is partly fulfilled. We feel that bringing together institutional leaders is an especially important

task to promote a more regional perspective in higher education decision making. Thus, we will be working to identify groups of institutions that we feel might have common objectives and problems and to bring leaders from those institutions together in order to talk about cooperative possibilities. Institutional cooperation is unlikely to take place unless the other ingredients that constitute a regional perspective can be intensified: that is, a more adequate flow of regional information and a reduction of existing barriers to regional cooperation.

In that last regard, we will work toward lowering the financial barriers to regional cooperation represented by out-of-state tuition charges by promoting among the six demonstration states the reduction or elimination of out-of-state tuition differentials for graduate and professional students. It is probable that this proposal will be for general reciprocity in this regard, with appropriate exceptions made by each of the states.

There is a package quality to the three ingredients that I have discussed. That is, I don't think we would have much luck in promoting interinstitutional cooperation without trying to lower some of the barriers that exist to that cooperation. At the same time, I think that the legislatures are likely to be unresponsive to suggestions that the barriers be lowered unless we can demonstrate that this will lead to cooperative planning among institutions. Both of these activities need to be informed by some very specific kinds of data including existing patterns of migration among the six states involved, an analysis of the present levels of out-of-state tuition at the graduate and professional education programs, and estimates of the real additional dollars generated by those tuitions.

The growing parochialism of higher education—akin to what Kevin Phillips called in a recent *Atlantic* article "The Balkanization of America"—threatens to result in the isolation of all from all. Interinstitutional cooperation is notoriously difficult to achieve. Statewide coordination and planning are viewed with suspicion in many quarters. How much more difficult is interstate coordination?

Yet, it seems clear that there are advantages to be gained from a regional perspective in looking at the needs served and resources required in the provision of adequate graduate and professional education. I have no delusion that this advantage is somehow

an adequate prescription for all higher education problems. The effectiveness achieved, or efficiencies gained, may be only marginal, which is not to say that they are unimportant. There are a good many changes in American higher education of content, context, and structure that promise only marginal improvement. They promise a system of opportunities that "works better" and serves people and their needs more effectively, and that is what we all seek. People and their needs form the essential focus of planning, and viewing those needs in the context of a region makes more sense than viewing them only from the perspective of a single institution, as tends to be the case.

Essentially, we are pushing a point of view that says society's needs are not adequately served by a system in which all "providers" of learning opportunities operate independently from one another, or that cooperation should always stop at an artificial geographic boundary. Access and diversity can certainly be viewed in a regional light. Efficiency is gained through coordinated planning. Quality can be enhanced through sharing of resources.

We believe that there is a place for regional perspectives in meeting these key objectives of postsecondary education. Because of the unique position of regional organizations—with neither the "stick" of regulatory power nor the "carrot" of fiscal incentives—the need for the kind of leadership which Lou Rabineau discussed is critical. Because regional action can only come from convinced state and institutional leaders, Lou's final note on leadership, that the people must finally be able to say, "look what we have done," is especially appropriate.

APPENDIX A

NATIONAL ADVISORY COUNCIL

Dr. Searle F. Charles, Chairman, National Council of State Directors of Community and Junior Colleges

Dr. William S. Fuller, Executive Director, Nebraska Coordinating Commission for Postsecondary Education

Dr. E. R. Jobe, Chairman, Mississippi Postsecondary Education Planning Board

Dr. Sheldon H. Knorr, Commissioner, Maryland State Board for Higher Education

Dr. Eileen Kuhns, Project Director, Pennsylvania Association of Colleges and Universities Statewide Study of Academic Programs

Dr. Richard M. Millard, Director of Postsecondary Education, Education Commission of the States

Dr. H. Clyde Reeves, Council of State Governments

Dr. Ralph O. Turlington, Commissioner of Education, Florida

Mr. Robert N. Wise, Executive Director, Council of State Planning Agencies

APPENDIX B

AGENDA

NATIONAL INVITATIONAL CONFERENCE ON REGIONALISM IN AMERICAN POSTSECONDARY EDUCATION

June 8-9, 1978
Sheraton-Park Hotel, Washington, D.C.

Thursday, June 8

8:00 - 10:00 a.m. Registration

10:30 - 12:00 noon Opening Remarks: S. V. Martorana, professor of education, College of Education, and research associate, Center for the Study of Higher Education, The Pennsylvania State University. Study and Project Director

Keynote Address: "Coming Conditions in Academe: A Backdrop to Regionalism in American Postsecondary Education", Dr. Fred M. Hechinger, president, The New York Times Company Foundation, Inc.

12:00 - 1:00 p.m. Lunch

1:30 - 3:00 p.m. Session #1

Topic: Implications of Regionalism for State-level Governmental Policies and Possible Legislative Concerns and Actions

Presenter: The honorable Ronald B. Stafford, Senator, New York State Legislature and chairman, Senate Higher Education Committee

Reactors: Ms. Donna Knight, human resources planner, Minnesota State Planning Agency

Dr. John J. Conard, executive officer, Kansas Board of Regents

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	Chair:	Dr. William S. Fuller, executive director, Nebraska Coordinating Commission for Postsecondary Education
3:30 - 5:00 p.m.	Session #2	
	Topic:	Implications of Regionalism for State-level Governmental Resource Allocation Decisions and Procedures
	Presenter:	Dr. H. Louis Stettler III, deputy secretary, Department of Budget and Fiscal Planning, Maryland
	Reactors:	Dr. H. Clyde Reeves, chairman, Municipal Statute Revision Commission, Kentucky Dr. Charles B. Reed, director, Florida Postsecondary Education Commission
	Chair:	Dr. Eileen Kuhns, coordinator, Educational Administration Program, The Catholic University of America
6:00 p.m. Dinner	Introductions:	S. V. Martorana
	Remarks:	Dr. Kenneth P. Mortimer, director, Center for the Study of Higher Education, The Pennsylvania State University
	Presenter:	"The Importance of State-level Leadership and Professional Staff in Postsecondary Education," Dr. Louis Rabineau, director, Inservice Education Program, The Education Commission of The States

Friday, June 9

8:30 - 10:00 a.m.	Session #3	
	Topic:	Implications of Regionalism for State-level Planning and Coor-

dinating Efforts for Postsecondary Education

Presenter: Mr. Richard C. Hawk, president, The Minnesota Higher Education Assistance Foundation

Reactors: Dr. Larry Gess, coordinator of educational planning, Office of Planning and Budget, Georgia
Dr. T. K. Olson, executive director, Oregon Educational Coordinating Commission

Chair: Mr. Lawrence A. Nespoli, associate project director, Center for the Study of Higher Education, The Pennsylvania State University

10:30 - 12:00 Noon Session #4

Topic: Implications of Regionalism for Postsecondary Institutions and State-Governed Systems

Presenter: Mr. Robert L. Gale, president, Association of Governing Boards

Reactors: Mr. Jim Perrin, Policy/Budget Analyst, Colorado Office of State Planning and Budgeting
Dr. Edward C. McGuire, commissioner for Higher Education, Pennsylvania State Department of Education

Chair: Dr. Richard M. Millard, director of postsecondary education, The Education Commission of The States

12:00 - 1:00 p.m. Lunch

1:30 - 3:30 p.m. To Face the Future: Implications for Action

(1) Voluntary Consortia; Dr. Lewis D. Patterson, executive director, The Council on Interinstitutional Leadership

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(2) Educational Brokering; Mr. Francis Macy, director, National Center for Educational Brokering

(3) Postsecondary Education Planning Commissions: A Federal Role: Mr. Jim Rogers, educational program officer, State Planning Commissions Program, U.S. Office of Education

(4) Interstate Compacts; Dr. Richard Jonsen, director, Project on Expanding Regional cooperation in Graduate and Professional Education, The Western Interstate Commission for Higher Education

Chair: S. V. Martorana, professor of education, research associate, and project director, Center for the Study of Higher Education, The Pennsylvania State University

APPENDIX C

NATIONAL CONFERENCE ON REGIONALISM AND REGIONALIZATION IN AMERICAN POSTSECONDARY EDUCATION

June 8-10, 1978

Washington, D. C.

CONFERENCE PARTICIPANTS

Kent G. ALM
Director, Resource Center for Planned Change
American Association of State Colleges and Universities

Robert J. BARAK
Director of Research & Information
Iowa State Board of Regents

Milton BAXTER
Executive Director
Mississippi Postsecondary Education Planning Board

Albert BEAVER
Academic Planner
University of Wisconsin System

Robert A. BOWMAN
Assistant Director
Arizona Commission for Postsecondary Education

Searl[illegible]RLES
Chairm[illegible]
National Council of State Directors of Community and Junior Colleges

Geraldine CLAPP
President
North Dakota State Board of Higher Education

John J. CONARD
Executive Officer
Kansas Board of Regents

Gary S. COX
Federal State Coordinator
Kentucky Council on Higher Education

Fred E. CROSSLAND
Program Officer, Higher Education
The Ford Foundation

Richard L. DAVISON
Executive Director
North Dakota Postsecondary Education Commission

Lilla ENGDAHL
Staff Associate
Western Interstate Commission for Higher Education

Ronald H. FIELD
Coordinator, State and Organizational Relations
American Association of State Colleges and Universities

Richard FIELDS
Deputy to Executive Director
Massachusetts Postsecondary Education Commission

Susan FRIEDMAN
Graduate Assistant
Center for the Study of Higher Education
The Pennsylvania State University

William S. FULLER
Executive Director
Nebraska Coordinating Commission for Postsecondary Education

Robert L. GALE
President
Association of Governing Boards

Larry GESS
Coordinator of Educational Planning
Georgia Office of Planning and Budget

Darryl G. GREER
Assistant to the Chancellor
Ohio Board of Regents

Richard C. HAWK
President
Minnesota Higher Education Assistance Foundation

Thomas M. HEALEY
Planning and Research Coordinator
Alaska Commission on Postsecondary Education

Fred M. HECHINGER
President
New York Times Company Foundation

Edward G. HOFGESANG
Director
New Jersey Division of Budget and Accounting

E. R. JOBE
Executive Director
Mississippi Postsecondary Education Planning Board

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Richard JONSEN
Senior Staff Associate
Western Interstate Commission for Higher Education

Donna KNIGHT
Human Resources Planner
Minnesota State Planning Agency

James F. KONKLE
Staff Assistant
Vermont Higher Education Planning Commission

Eileen KUHNS
Coordinator
Educational Administration Program
The Catholic University of America

Sherry P. LANCASTER
Coordinator, Academic Programs
Virginia Council of Higher Education

Francis MACY
Director
National Center for Educational Brokering

Donald C. MARTIN
Associate in Higher Education
New York State Education Department

Delia MARTINEZ
Senior Budget Analyst
University of Nevada System

S. V. MARTORANA
Professor of Higher Education, Research Associate, and Project Director
Center for the Study of Higher Education
The Pennsylvania State University

Leo R. MC CARREY
Deputy Commissioner
Utah State Board of Regents

Edward C. MC GUIRE
Commissioner for Higher Education
Pennsylvania State Department of Education

Roy MC TARRAGAN
Vice Chancellor
State University System of Florida

Richard M. MILLARD
Director of Postsecondary Education
Eduation Commission of the States

Kenneth P. MORTIMER
Professor and Director
Center for the Study of Higher Education
The Pennsylvania State University

Lawrence A. NESPOLI
Associate Project Director
Center for the Study of Higher Education
The Pennsylvania State University

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Richard S. OFFENBERG
Vice Chancellor for Academic Affairs
Massachusetts Board of Higher Education

T. K. OLSON
Executive Director
Oregon Educational Coordinating Commission

Lewis D. PATTERSON
Executive Director
Council on Interinstitutional Leadership

Jim PERRIN
Policy/Budget Analyst
Colorado Office of State Planning and Budgeting

Roy PETERSON
Associate Director for Academic and Health Affairs
Illinois Board of Higher Education

Dan POSNANSKI
Associate Director for Information Services
New England Board of Higher Education

Susan POWELL
Director of Program Planning and Coordination
Minnesota Higher Education Coordinating Board

Louis RABINEAU
Director
In-Service Education Program
Education Commission of the States

Charles B. REED
Director
Florida Postsecondary Education Commission

H. Clyde REEVES
Chairman
Kentucky Municipal Statute Revision Commission

Robert RHODES
Academic Coordinator
New Mexico Board of Educational Finance

Nan ROBINSON
Deputy Commissioner of Higher Education
Connecticut Board of Higher Education

Jim ROGERS
Educational Program Officer
State Planning Commissions Program
U.S. Office of Education

Frank SCHMIDTLEIN
Director, Division of Research, Planning, and Evaluation
Maryland Board for Higher Education

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Steven SMARTT
Associate Project Director–
Faculty Evaluation
Southern Regional Education
Board

Ronald B. STAFFORD
Senator
New York State Legislature

H. Louis STETTLER, III
Deputy Secretary
Maryland Department of Budget
and Fiscal Planning

Jack TEBO
Association for Policy Analysis
Florida Department of
Education

Larry TREMBLAY
Coordinator of Research
Louisiana Board of Regents

Carl A. TRENDLER
Deputy Assistant Commissioner
for Postsecondary Education
Rhode Island Department of
Education

Clifford M. TRUMP
Deputy Director for Academic
Planning
Idaho State Board of Education

Martha TURNAGE
Project Director
Policies for Lifelc g Education
American Association of Com-
munity and Junior Colleges

Willis A. WOLFF
Executive Director
Iowa Higher Education
Facilities Commission

Lawrence E. WOODALL
Executive Coordinator
Arizona Board of Regents

Richard YTURREGUI
Executive Director
Maine Postsecondary Education
Commission

APPENDIX D

NOTES ON THE AUTHORS

ROBERT L. GALE was named President of the Association of Governing Boards of Universities and Colleges in January 1974. He has since instituted a number of new projects, including the redesign and revision of the AGB publications, the establishment of the Trustee Information Clearinghouse, and the launching of an innovative Trustee Leadership Program. Mr. Gale served as trustee of his alma mater, Carleton College, where from 1957 to 1962 he was Vice President. In 1962 he joined the Peace Corps and served successively as Director of Special Projects, Director of Recruiting, and Director of Public Affairs. He was one of the first staff members of the Equal Employment Opportunity Commission, and has held editorial positions at *This Week Magazine, Popular Science,* and *Argosy*.

RICHARD C. HAWK became the founding President of the Higher Education Assistance Foundation in St. Paul Minnesota in April 1977. He also serves as President and Treasurer of the Higher Education Loan Program of Kansas, Inc. For eleven years preceding establishment of the Foundation, he served as the first Executive Director of the State of Minnesota Higher Education Coordinating Board. Prior to assuming leadership for the Coordinating Board, he was associated with the University of Chicago as Assistant Dean of the Graduate School of Education and the Kansas State Teachers College of Emporia where he held a variety of administrative positions. Mr. Hawk holds the Bachelor of Science in Business, Masters of Science degrees from the Kansas State Teachers College, and the Doctor of Laws degree (honorary) from the College of St. Thomas in St. Paul.

FRED M. HECHINGER attended New York University and City College from which he was graduated Phi Beta Kappa. He did graduate work at the University of London, at which time he began to write for the Education Supplement of The Times of London. From 1946 to 1950, he served as Education Editor as well as foreign correspondent for The Bridgeport (Conn.) Herald, education columnist for The Washington Post and foreign correspondent for the

Overseas News Agency. He later served as Education Editor of The New York *Herald Tribune* and The New York *Times*. Mr. Hechinger is a contributory editor to *Saturday Review* and has written for *Harper's* and other periodicals. He holds the British Empire Medal, and was recipient of the Education Writers Association awards in 1948, 1949, 1952 and 1975. He is past president of the Education Writers Association, and has received honorary doctorates from numerous institutions. Mr. Hechinger is the author of "An Adventure in Education: Connecticut Points the Way," and other publications. Since 1973, he has been teaching at the City University of New York (Hunter College and Queens College) as an adjunct professor, and at the New School for Social Research as a special lecturer. In 1977, Mr. Hechinger became President of The New York Times Company Foundation. Most recently he was named a member of The President's Commission on Foreign Languages and International Studies.

RICHARD W. JONSEN is a Senior Staff Associate at the Western Interstate Commission for Higher Education and directs the Project on Expanding Regional Cooperation in Graduate and Professional Education. Formerly he was staff director of a Task Force Project on State Policy and Independent Higher Education at the Education Commission of the States. Dr. Jonsen received his Ph.D. in Higher Education from Stanford University in 1973, and holds a B.A. from the University of Santa Clara and an M.A. from San Jose State College. His publications include *State Policy and Independent Higher Education* and *A Perspective of the Small Liberal Arts Colleges.*

FRANCIS W. MACY is the Director of the National Center for Educational Brokering and past Director of Regional Learning Service of Central New York. He formerly served as Executive Director for the Secretariat of the Central New York External Degree Planning Consortium and in varied positions with the Peace Corps and the U.S. Information Agency. Mr. Macy graduated Phi Beta Kappa from Wesleyan University with High Honors in Government. He received his Masters from Harvard University in Soviet and International Affairs. His publications include, *Regional Learning Services: A Design for Educational Flexibility* (with Stephen K. Bailey), *Barriers to Adult Career Change* (with Ronald H. Frederickson and Donn F.

Vickers), and *Educational Brokering: A New Service for Adult Learners* (with James M. Heffernan and Donn F. Vickers).

LEWIS D. PATTERSON is Executive Director of The Council on Interinstitutional Leadership at the University of Alabama at Tuscaloosa. He has worked with consortia for the past decade, first out of Kansas City and later Washington. D. C. Dr. Patterson received his B.S. from Central Missouri State University, M.S. from the University of Colorado, and Ph.D. from the University of Missouri at Kansas City.

LOUIS RABINEAU is Director of the In-Service Education Program for the Education Commission of the States. He served as Chancellor of Higher Education in Connecticut and, formerly, was Vice President at Pratt Institute in New York, and Supervisor of Professional Education for the New York State Education Department. He has been a visiting lecturer at New York University and Teachers College at Columbia University. Dr. Rabineau did his undergraduate and masters work at the State University of New York and received his doctorate from Harvard.

JAMES F. ROGERS is an Educational Program Officer, Bureau of Higher and Continuing Education. U. S. Office of Education, where he has served for several years. He received the Ph.D. degree from the University of Texas and pursued post-doctoral work at the University of Chicago. He has served in administrative posts in Texas, Oklahoma, and Kentucky, and was member of the faculty at the University of Texas and at the University of North Carolina. The professional views offered in his article are the author's and do not necessarily reflect the position of the Department of Health, Education and Welfare.

RONALD B. STAFFORD was elected to the New York State Senate in 1965 and, since the 1972 election, represents the newly created 43rd district. He graduated from St. Lawrence University and later the Columbia University School of Law in 1962 and received the Award of Merit from The New York City Board of Higher Education in 1972, the Annual Alumni Citation from St. Lawrence University in 1975, the Higher Education Recognition Award from the Commis-

sion on Independent Colleges and Universities in 1976, and the Friend of Higher Education Award from the New York State Independent Student Coalition in 1977. Senator Stafford practices law in Plattsburgh with the firm of Stafford, Purcell, and Mahoney and continues to serve his constituents through a number of civic and service organizations. In the fall of 1974, he was elected Chairman of the New York State 1980 Olympic Winter Games Commission.

H. LOUIS STETTLER, III serves as Deputy Secretary of the Department of Budget and Fiscal Planning in Maryland. He received his B.A. from the University of Notre Dame and his Ph.D. in economics from Purdue University. From 1963 through 1968, he was on the faculty of The Johns Hopkins University. During 1969 and 1970, he was employed by a private firm to direct a federal research contract dealing with opportunities, strategies, and policies for the economic development of depressed areas. In January 1971, Dr. Stettler joined the State of Maryland as the Executive Director of the Governor's Council of Economic Advisors and has since served the state in various capacities up to and including his present position.

APPENDIX E

NOTES ON THE EDITORS

S. V. MARTORANA, project director, is research associate at the Center for the Study of Higher Education and professor of higher education in the College of Education at Penn State. Dr. Martorana has an M.A. and Ph.D. in education from The University of Chicago. Prior to his appointment at Penn State, he served as vice chancellor for community colleges and provost for vocational and technical education at the State University of New York and, earlier, as assistant commissioner for higher education planning in the New York State Education Department. Previously he has served in varied administrative and policy-making capacities in higher educational institutions and in the U.S. Office of Education, particularly in the areas of community colleges and state and regional planning. He has published numerous books, monographs, and articles in these areas, among which are *State Boards Responsible for Higher Education* (with Ernest V. Hollis), *College Boards of Trustees*, "Financing Community-Junior Colleges" in the *Encyclopedia of Education*, *Managing Academic Change* (with Eileen Kuhns), *Principles, Practices, and Alternatives in State Methods of Financing Community Colleges* (with James L. Wattenbarger), *State Postsecondary Education (1202) Commissions: A First Look* (with J. Leonard Salazar), and *Dollars and Directives: Issues and Problems Related to Financial Support and Legal Authorizations of Community Colleges* (with James L. Wattenbarger and Wayne D. Smutz).

LAWRENCE A. NESPOLI, associate project director, is a doctoral candidate in higher education at The Pennsylvania State University, where he served as a research assistant at the Center for the Study of Higher Education prior to assuming his position with the current study. He holds a bachelor's degree with honors from Bucknell University in Pennsylvania and an M.A. from the Catholic University of America. Mr. Nespoli co-authored the report *Regionalism in American Postsecondary Education: Concepts and Practices* (with S. V. Martorana) and has also published in the area of state legislative trends in higher education. He has taught at both Catholic University and Penn State, and previously served as a Public Administration Intern for the Commonwealth of Pennsylvania.

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Center for the Study of Higher Education
The Pennsylvania State University

The Center for the Study of Higher Education was established in January 1969 to study higher education as an area of scholarly inquiry and research. Dr. Kenneth P. Mortimer, its director, is aided by a staff of twenty, including five full-time researchers and a cadre of advanced graduate students and supporting staff.

The Center's studies are designed to be relevant not only to the University and the Commonwealth of Pennsylvania but also to colleges and universities throughout the nation. The immediate focus of the Center's research falls into the broad areas of governance, graduate and professional education, and occupational programs in two-year colleges.

SELECTED PUBLICATIONS AVAILABLE FROM THE CENTER FOR THE STUDY OF HIGHER EDUCATION

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